HOW-TO NOTE

Addressing Gender and Inclusiveness in Project Design

This Note discusses how to integrate gender equality, female empowerment, and other inclusive development approaches into project design to make outcomes more successful.

How-To Notes are published by the Bureau for Policy, Planning and Learning and provide guidelines and practical advice to USAID staff and partners related to the Program Cycle. This How-To Note supplements USAID ADS Chapters 201 & 205.

INTRODUCTION

This document is intended to guide project design teams to integrate gender equality and female empowerment and other inclusive development approaches from beginning to end of the project design process. It describes how to (a) build on the applicable findings from the country strategy level gender analysis and related supplemental analyses (such as youth, disability, LGBT); (b) use the findings of the project level gender analysis to develop gender equality and female empowerment objectives, activities, and performance metrics in project designs; and (c) ensure that the objectives, activities, and indicators are reflected in Project Appraisal Documents (PADs) prior to final approval.

There are three stages in the project design process:

(1) The conceptual stage (resulting in a Concept Paper)
(2) The analytical stage (resulting in a Project Appraisal Document (PAD))
(3) The approval stage (resulting in a Project Authorization).

This How-To Note contains two worksheets that can be used during the Conceptual and Analytical Phases of Project Design:

1. A checklist of key questions to help identify relevant gender gaps for each stage of the project design process; and
2. A template for integrating the findings of the gender analysis into project designs.

This toolkit can help to improve project-level outcomes and minimize the risk of unintended negative consequences, such as increased gender-based violence or worsening gender and other inequalities.

THE CONCEPTUAL STAGE

As outlined in ADS 201, there are a number of steps to take during the conceptual phase of project design. Worksheet A is a checklist with specific questions that can be used by project design teams to ensure that:

1. The Project Design Team includes appropriate and relevant gender expertise, and roles and responsibilities of team members are identified;
2. The problem the project is being designed to address is informed by sex-disaggregated data and an understanding of the relevant gender gaps that were identified in the CDCS Results Framework or transition strategy;

SMART DESIGN FOR DEVELOPMENT

Gender equality and female empowerment are fundamental to the realization of human rights and key to effective and sustainable development outcomes. The findings of gender analysis can help identify key development challenges as well as opportunities to pursue more effective, evidence-based investments of our core development programming.

"Achieving our objectives for global development will demand accelerated efforts to achieve gender equality and women's empowerment. Otherwise, peace and prosperity will have their own glass ceiling."

- Hillary Clinton, January 2012

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3. In order to increase the probability of project effectiveness and sustainability, a wide range of stakeholders are identified and their inputs are analyzed in order to provide a better understanding of the different needs of men and women, boys and girls. Stakeholders include males and females from relevant income and ethnic groups located in the geographic areas where the project will focus, the LGBT population, and males and females with disabilities;
4. Questions for the project-level gender analysis have been identified, and the review of other available information for the project includes inclusve development programming examples as well as other evidence to inform the design process;
5. A preliminary Logical Framework is designed that highlights the gender gaps to be reduced at various levels of the LF. Sex-disaggregated indicators will track if gender gaps are being closed.
6. Appropriate mechanisms, including Local Solutions (Government to Government and Local Capacity Development) are considered to adequately assess risks, governance issues, and technical capacity in the partner's ability to promote gender equality, female empowerment, and inclusive development.

The output of this phase is a Concept Paper that identifies the relevant gender gaps to be addressed by the project. Relevant project-level gender analysis questions should be identified at this phase, but completion of project-level gender analysis is only required after the Concept Paper has been approved.

WORKSHEET A: A CHECKLIST OF KEY GENDER QUESTIONS FOR THE CONCEPTUAL STAGE OF PROJECT DESIGN

TOOLKIT FOR GENDER INTEGRATION

Each section provides instructions for how to consider and integrate gender equality and women's empowerment. Follow the directions below to identify answers and include them in the relevant sections of the Concept Paper.

I. PROJECT DESIGN TEAM

List the project design team members who have explicit knowledge of gender and/or inclusiveness issues and will be responsible for ensuring that the project design addresses and is capable of reducing key gender gaps and establishing indicators capable of monitoring gender-related outcomes. Alternatively, outline a plan for soliciting technical assistance (from other offices within the Mission, USAID/W, external consultants, or others). Consult the Mission's Gender Advisor for structuring an appropriate combination of technical assistance throughout the project design process.

Which member(s) of the project design team has (have) knowledge of gender issues related to the proposed project?	
If gender knowledge does not exist within the project design team, what is the plan for acquiring technical assistance?	

2. PROBLEM STATEMENT AND MAJOR ISSUES

You should already have a gender analysis from the CDCS which ideally will provide enough information to be able to preliminarily identify the gender gaps to be reduced through the project. Using the information from that analysis and other data (from NGO or donor reports, research produced by local universities or other sources), identify the gaps between males and females that are relevant to the problem analysis. Does the problem analysis reveal specific sub-groups of males or females who deserve specific attention in the project – such as young women/men, males/females with disabilities, LGBT, internally displaced men and women? This information should be listed in Column 3 on Worksheet B. If the project will be based on previous USAID projects, are there any lessons learned related to gender and other inclusive approaches to development?

List the major gender gaps that are relevant to the project	
List any key population groups that can/should be engaged in the project	
Can the project include specific opportunities to promote women's leadership?	

3. IDENTIFY AND ANALYZE THE STAKEHOLDERS

Identify and consult experts, advocates, and other individuals in the project target area who have knowledge and insights relevant to the gender and other inclusiveness issues related to the project. If possible, reach out to potential beneficiaries. In addition to stakeholder analysis, Influence Network Maps, Participatory Impact Pathways Analysis, and other tools could be helpful in this process. Such mapping tools are low-tech and help people understand, visualize, discuss, and improve situations in which many different actors influence outcomes. For more information on Network Influence Map, visit: http://netmap.wordpress.com/page/2/. For more information on Participatory Impact Pathway Analysis, visit: http://impactpathways.pbworks.com.

Which organizations and individuals should be consulted to provide additional information on the relevant gender gaps and inclusiveness dimensions of the problem?	
How will males and females be involved in project design (i.e., what aspects of project design and at what point(s) in the project design process will these stakeholders be consulted in order to inform those aspects?)?	

4. CARRY OUT GENDER ANALYSIS AND REVIEW OTHER AVAILABLE KNOWLEDGE

You should begin the gender analysis during the Conceptual Phase of project design, although the analysis is not required to be completed until the Analytical Phase (see ADS 205 for more detail on gender analysis). The project level gender analysis should include appropriate detail on

the relevant gaps in the status of males and females, including by age ethnicity, disability, location, etc. that could hinder overall project outcomes and be reduced through project design. The analysis should cover the following issues, at minimum:

What is the status of women and men and their differential access to/control over assets, resources, opportunities and services relevant to the project?	
What are male and female roles, responsibilities and time use that could prevent or facilitate participation in the project?	
Are there laws, policies, and institutional practices that may contain implicit or explicit gender biases and that may need to be addressed by the project? Which are they?	
What gender norms exist that may affect female's ability to assume leadership roles and decision-making in the project as well as to participate?	
What are the potential impacts of the project purpose on men and women, including unintended or negative consequences such as increasing the risk of gender based violence or increasing women's unpaid work?	

In addition, you should coordinate with your colleagues to ensure that other analyses collect information that you can use. For example, the domains of the gender analysis will also be relevant to the youth analysis to help identify the needs, gaps and aspirations of young men and women.

What other proposed analyses/assessments are being conducted for the project that may contain useful information on males and females?	
What questions can be included in those analyses to ensure the data and trends are sex-disaggregated and gender dynamics and gaps are identified?	

5. DEVELOPING THE DRAFT LOGFRAME

You may be able to answer some of the questions below during the Conceptual Phase, but if not, they will need to be answered in final form for preparation of the PAD in the analytic phase. Use the information from the gender analysis to shape the design of the project. It may be helpful to note the names of people or organizations who could serve as key informants to help ensure the design reflects attention to the identified gender gaps.

How can the draft LogFrame be designed to reduce identified inequalities and address the needs of both men and women?	
What are possible unintended consequences of the initial results and how can the project be designed to prevent or minimize them?	
Will the draft results empower females and/or transform harmful gender norms?	
Does the gender analysis suggest the need for an output, or outcome for women's empowerment in the draft LogFrame?	

6. MONITORING, EVALUATION, AND LEARNING

Gender gaps need to be addressed throughout the project life cycle. It is critical to gather sex-disaggregated data at baseline to use for planning and monitoring/tracking over the project cycle. Based on the information you have from the CDCS and other information, you may be able to identify some indicators and evaluation questions in the Conceptual Stage. Note the questions below will need to be fully fleshed out for the PAD.

Do the illustrative indicators capture and track changes in the gaps to be reduced and outcomes to be achieved (for instance in participation, resources, and so forth) between men and women over time as the project is implemented?	
What are one or two potential evaluation questions, based on the project's development hypothesis, that would provide information on whether and how reducing gaps between males and females affects project outcomes?	
Can the project incorporate any of the gender equality, women's empowerment, gender-based violence or women, peace and security indicators from the Standardized Program Framework/FACTS Info?	

CHECKLIST FOR REVIEWING THE OUTPUT OF THE CONCEPTUAL STAGE: CONCEPT PAPER

In addition to the questions listed above, the following questions ensure that the Concept Paper is aligned with the relevant USAID gender equality policies and strategies.

1.   DOES YOUR CONCEPT PAPER EXPLAIN THE RELATIONSHIP OF THE PROJECT TO THE GENDER GAPS IDENTIFIED IN THE CDCS OR TRANSITION STRATEGY?

Describe any gender and inclusiveness issues that have already been identified in the CDCS and/or strategy-level gender analysis and how the proposed project will address them.

Which DO / IR does the project fit under and what gender gaps have been already identified?	
What are the gender-related results/sub-purposes/outputs in the draft LogFrame?	

2.   DOES YOUR CONCEPT PAPER EXPLAIN THE RELATIONSHIP OF THE PROJECT TO USAID'S GENDER-RELATED POLICIES AND STRATEGIES (AS APPLICABLE)?

Indicate what other Agency policies and strategies are relevant. Key policies/strategies include:

- ☐ USAID Policy on Gender Equality and Female Empowerment (GEFE): To which outcome(s) in the GEFE policy does the project contribute?
- ☐ USAID Policy on C-TIP
- ☐ USAID Implementation Plan on NAP WPS

- ☐ USAID Policy on Youth in Development
- ☐ USG Strategy on GBV Worldwide
- ☐ Other(s): i.e. LGBT Vision, USAID Disability Policy, Child Marriage Vision, etc.

3.   DOES YOUR CONCEPT PAPER CONTAIN THE FOLLOWING?

Illustrative interventions/Results that address the relevant gender gaps?	Y / N
One or two illustrative M&E questions about the impact of reducing gender gaps on project outcomes?	Y / N
Illustrative gender-sensitive indicators?	Y / N

THE ANALYTICAL STAGE

1. The project-level gender analysis must be completed by the end of the analytical stage of project design. The domains of the gender analysis are described in ADS 205. There is no prescribed length for the gender analysis, although seven to ten pages should be sufficient.

2. Worksheet B is designed to guide the project design team through five steps. The first two columns in the matrix can be used during the concept stage to identify key gender dynamics and gaps related to the project. The last three columns in the matrix are intended to help project design teams use the information in the gender analysis to design project activities that close the relevant gaps and identify relevant indicators for tracking and measuring progress. The responses in Worksheet B should be a concise summary of the key findings and recommendations from the gender analysis.

   Step 1: Identify the relevant questions for the project-level gender analysis (Column 1).

   Step 2: Identify the sources of information to answer the questions for the analysis (Column 2).

   Step 3: Examine the findings of the project-level gender analysis and discuss their relevance to the project (Column 3).

   Step 4: Indicate how and where in the PAD these findings will be applied (Column 4), (see ADS 201.3.9.4 Stage 2: Result - Project Appraisal Document for more detailed information).

   Step 5: Ensure that the M&E plan includes sex-disaggregated indicators and evaluation questions related to gender equality and project results (Column 5).

3. The output of the Analytical Phase is a Project Appraisal Document in which the findings of the gender analysis are discussed in the problem statement, activities, monitoring and evaluation

(M&E) Plan, and personnel requirements, and appropriate gender-sensitive indicators and sex-disaggregated data are reflected in the M&E Plan. The gender analysis must be included as an Appendix to the PAD.

ADDITIONAL RESOURCES

The following resource includes sample questions for specific sectors for the project-level gender analysis:

- USAID (2012), *Toward Gender Equality in Europe and Eurasia: A Toolkit for Analysis*: DEC Doc ID: 45ea6515-d13e-423c-af7a-83ad48a7f201.

In addition, the following websites contain other helpful materials:

- ProgramNet Gender Page: https://programnet.usaid.gov/program-cycle-topics/gender

- Office of Gender Equality and Women's Empowerment intranet site: http://inside.usaid.gov/E3/off-wid/index.html

- Mission Examples of Project-Level Gender Analysis Matrix: https://programnet.usaid.gov/how-to-note-gender-project-design

- How-To Note on Gender Integration in Bureau and Mission Resource Requests and Operational Plans: https://programnet.usaid.gov/how-to-note-gender-mrrs-ops

WORKSHEET B: PROJECT-LEVEL GENDER ANALYSIS MATRIX (SEE ADDITIONAL RESOURCES FOR MISSION EXAMPLES)

Corresponding DO (or IR) in the CDCS _____: _____

Proposed Project LogFrame: Goal, Purpose, Sub Purposes_____

Relevant Sector(s): _____

	DURING THE CONCEPTUAL PHASE			DURING THE ANALYTIC PHASE: BUILDING GENDER INTO THE PROJECT LOGFRAME	
	Begin here if project level gender analysis does not exist		Begin here if project level gender analysis exists		
	GENDER ANALYSIS QUESTIONS *What do we need to know (specific gender gaps by domain)? What key gender norms or roles could influence the project implementation? (See ADS 205 for the specific types of questions that should be asked in carrying out this gender analysis)*	DATA SOURCES *Where do we find the answers? (People, Documents)*	ANSWERS *Which specific gender gaps can be addressed through the project to improve project results? Who is marginalized and how?* *(include citations)*	RELEVANCE TO PAD *Describe how the answers in the previous column will be addressed in the project LogFrame and description. Make sure your answers conform to the outline of the PAD explained in ADS 201.*	INDICATORS TO TRACK PROGRESS FOR REDUCING GENDER GAPS *Identify relevant indicators to track gender gaps to be reduced.*
1.					
2.					
3.					
4.					

CHECKLIST FOR REVIEWING OUTPUT OF THE ANALYTICAL STAGE: PROJECT APPRAISAL DOCUMENT (PAD)

1. DOES YOUR PAD EXPLAIN THE RELATIONSHIP OF THE PROJECT TO THE GENDER EQUALITY OUTCOMES IDENTIFIED IN THE CDCS OR TRANSITION STRATEGY?

Describe any gender and inclusiveness issues that have already been identified in the CDCS and/or strategy-level gender analysis and how the proposed project will address them.

Which DO / IR does the project fit under and what gender gaps have been already identified?	
In the Log Frame, what are the gender-related results/sub-purposes/outputs?	

2. DOES YOUR PAD EXPLAIN THE RELATIONSHIP OF THE PROJECT TO USAID'S GENDER-RELATED POLICIES AND STRATEGIES (AS APPLICABLE)?

Indicate what other Agency policies and strategies are relevant. Key policies/strategies include:

- ☐ USAID Policy on Gender Equality and Female Empowerment (GEFE): To which outcome(s) in the GEFE policy does the project contribute?
    - ☐ Reduce gender disparities in access to, control over and benefit from resources, wealth, opportunities and services - economic, social, political, and cultural;
    - ☐ Reduce gender-based violence and mitigate its harmful effects on individuals; and/or
    - ☐ Increase capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies.
- ☐ USAID Policy on C-TIP
- ☐ USAID Implementation Plan on NAP WPS
- ☐ USAID Policy on Youth in Development
- ☐ USG Strategy on GBV Worldwide
- ☐ Other(s): i.e. LGBT Visions, USAID Disability Policy, Child Marriage Vision, etc.

3. IN THE PROJECT DESCRIPTION:

Does this section include the relevant sex-disaggregated information at the community (or relevant) level?	Y / N
Does the problem statement clearly state which gender gaps or marginalization the project intends to address?	Y / N
Does the project as described clearly reflect and incorporate the findings and conclusions of the project-level gender analysis?	Y / N
Have assumptions about gender-specific attitudes and behaviors been appropriately addressed through the project results (outputs, outcomes, sub-purposes) rather than set aside in the LogFrame assumptions column?	Y / N

If "no," provide a brief explanation which will help document reasons for the cover note to justify why there are no gender issues relevant to the project's design.

4. IN THE IMPLEMENTATION PLAN:

Where provided, do activities, inputs and outputs appropriately aim at reducing the relevant gender gap(s)?	Y / N
Does it include discussion of opportunities for increasing female leadership or otherwise empowering women in project implementation?	Y / N
Does the A&A strategy envision the use of local women's groups or other local partners?	Y / N

5. IN THE M&E PLAN AND LEARNING APPROACH:

Does it collect sex-disaggregated information at the community (or relevant) level?	Y / N
Does it include sampling strategies and methods for collecting information from males and females during the course of the project?	Y / N
Are there evaluation question(s) regarding the effect of reducing gaps between males and females on project outcomes?	Y / N
Does the Learning Plan describe a process to determine the need for further gender analysis if learning leads to substantial revision of the project or activity?	Y / N

6. IS THE PROJECT GENDER ANALYSIS ATTACHED AS AN ANNEX?   Y/N

7. ONCE YOUR PAD IS FINALIZED, WORK WITH YOUR PROGRAM OFFICE TO DETERMINE THE SHARE OF YOUR PROJECT'S BUDGET THAT CAN BE ATTRIBUTED TO THE GENDER KEY ISSUES (REFER TO THE HOW-TO NOTE ON GENDER INTEGRATION IN MRRS AND OPS)

Estimate what proportion of this project's resources can be attributed to the following gender related key issues, to be included in the data for the Mission's Operational Plan:

Gender Equality and Female Empowerment – Primary	%
Gender Equality and Female Empowerment – Secondary	%
Gender-based violence	%
Counter-Trafficking in Persons	%
Women, Peace, and Security (must match & correspond with one gender key issue listed above)	%

The following tips can help you calculate the attribution amount
- For new projects with activities to be determined: Share or % of total estimated budget that will go towards promotion of gender equality and female empowerment, prevention/reduction of GBV, counter-trafficking in persons, and women, peace and security.
- For projects with similar/continuing past activities: Total amount for each component (estimate the portion of integrated components as well as stand-alone activities) that is associated with the promotion of gender equality and female empowerment, prevention/reduction of GBV, counter-trafficking in persons, and women, peace and security.

Key issue definitions and FAQs can be found in the latest OP or PPR Guidance posted on Office of U.S. Foreign Assistance website: http://f.state.sbu/default.aspx. Always remember to document how the percentage was calculated and the rationale behind the decision.