



INSTITUTE FOR EVALUATIONS
AND SOCIAL ANALYSES

**METHODOLOGY FOR THE EVALUATION
OF CROSS-CUTTING THEMES
IN DEVELOPMENT COOPERATION**

MANUAL

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TABLE OF CONTENTS

1.	ABOUT THIS MANUAL	4
2.	EVALUATION OF CROSS-CUTTING THEMES IN DEVELOPMENT COOPERATION.....	5
3.	CROSS-CUTTING THEMES	6
3.1	Good governance.....	6
3.1.1	DIMENSIONS OF GOOD GOVERNANCE.....	7
3.2	Environment (sustainable development)	7
3.2.1	ENVIRONMENTAL DIMENSIONS	8
3.3	Human rights.....	9
3.3.1	DIMENSIONS OF THE CONCEPT OF HUMAN RIGHTS AND GENDER EQUALITY	10
3.4	Gender equality	10
3.4.1	Dimensions of the concept gender equality	11
4.	TOOLS	13
4.1	Cross-cutting Theme Indicator Matrix	13
4.2	Scoring Sheet	17
4.2.1	Process and context indicators	22
4.2.2	Output and outcome indicators.....	29
4.3	The link between the Scoring Sheet and the Matrix	30
5.	THE EVALUATION APPROACH.....	32
5.1	The Methodology Procedure in 10 Simple Steps.....	33

1. ABOUT THIS MANUAL

This manual describes the Methodology for the Evaluation of Cross-cutting Themes in Development Cooperation developed by the Institute for Evaluations and Social Analyses (INESAN). The development of the Methodology was supported by the Technological Agency of the Czech Republic.

The methodology is designed to become a practical tool for evaluators who evaluate development projects and programs. The prime intention of the methodology is to unify the existing diversity of approaches to the evaluation of cross-cutting themes and bring standardization and comparability across projects. It places an emphasis on concise, relevant and evidence-based indicators, a systematic procedure for the use of the indicators and a uniform method of presentation of the evaluation results. Furthermore, the authors of the project aspire to raise attention paid to cross-cutting themes throughout the whole cycle of development cooperation, from planning of interventions to their evaluation. The methodology is primarily intended as a tool for evaluators in the field of development cooperation, however, practitioners from other related field may also find it useful, particularly when planning and implementing development projects.

2. EVALUATION OF CROSS-CUTTING THEMES IN DEVELOPMENT COOPERATION

Cross-cutting themes in international development cooperation are topics that are gaining such importance with respect to the objectives of development cooperation that they should be considered and integrated into all development interventions and policies. At the same time, these topics are issues that can not be easily isolated into individual interventions as even projects or programs targeting other areas have direct or indirect impact on them. Therefore, even development interventions that are not directly focused on the cross-cutting themes should pay attention to these issues, both in the formulation stage and in the implementation and subsequent evaluation phases.

Cross-cutting themes should be considered at two levels. None of the interventions should result in worsened conditions for any group or individual, nor should it result in an escalation of a problem or phenomenon, which is included in the cross-cutting theme, i.e. the *do no harm approach*. At the same time, it is desirable that individual interventions positively contribute to the development of each cross-cutting theme such as enhancing the position of marginalized and excluded groups, improve their living conditions, contribute to an improving quality of the environment in the intervention area etc.

The methodology is developed for the following four cross-cutting themes listed in The Concept of international development cooperation of the Czech Republic for the period of 2010-2017: Good (democratic) governance; Respect for the environment and climate (hereinafter the "Environment"); Respect for basic human, economic, social and labour rights (hereinafter "Human rights") and gender equality. For the purposes of the Methodology and based on a thorough review of academic literature, strategic documents, guidelines and other materials from international development organizations and other bilateral donor agencies, the four cross-cutting themes have been defined and operationalized as is described in the following section.

3. CROSS-CUTTING THEMES

This methodology covers four cross-cutting themes in development cooperation – good governance, the environment/sustainable development, human rights and gender equality.

3.1 GOOD GOVERNANCE



Governance refers to the formal and informal arrangements that determine how public decisions are made and how public actions are carried out from the perspective of maintaining a country's constitutional values.¹ It is also the manner in which power is exercised in the management of a country's economic and social resources for development.² It is within the context of governance that citizens are being provided with *political goods*, which include human security, rule of law, political and civil freedoms, medical and health care, schools and education, communication networks, money and banking system, fiscal and institutional context, support for civil society, or regulating the sharing of the environmental commons.³

Governance is a political and technocratic term without normative aspirations, while the term **good governance** adds the normative aspect by suggesting that governance should be “good” and not “bad”.⁴ UNDP in its interpretation of good governance emphasizes its participatory character, transparency and accountability, effective and equitable promotion of the rule of law.⁵ OECD bases its conception of good governance on the definition of an effective state derived from the Manila Statement on Partnering to Strengthen and Support Effective States (2011). According to this definition, an effective state is “one that establishes an enabling environment for the delivery of high-quality and cost effective public services and the eradication of poverty in a manner that involves accountability to its citizens”.⁶

The international development experience confirms a strong link between good governance and the level of country development. For instance, the World Bank recognized that “the reasons for underdevelopment and misgovernment are “sometimes attributable to weak institutions, lack of an adequate legal framework, damaging discretionary interventions, uncertain and variable policy frameworks and a closed decision-making process which increases risks of corruption and waste”.⁷

¹ UNDESA. (2007). *Public Governance Indicators: A Literature Review*. United Nations: New York.

https://publicadministration.un.org/publications/content/PDFs/E-Library%20Archives/2007%20Public%20Governance%20Indicators_a%20Literature%20Review.pdf

² IFAD. (1999). *Good Governance: An Overview*. International Fund for Agricultural Development. Executive Board – Sixty-Seventh Session Rome, 8-9 September 1999. <http://www.ifad.org/gbdocs/eb/67/e/EB-99-67-INF-4.pdf>

³ UNDESA. (2007). *Public Governance Indicators: A Literature Review*. United Nations: New York.

https://publicadministration.un.org/publications/content/PDFs/E-Library%20Archives/2007%20Public%20Governance%20Indicators_a%20Literature%20Review.pdf

⁴ Ladi. (2008). *Good governance and public administration reform in the Black Sea Economic Cooperation (BSEC) Member States*. Xenophon Series Paper No. 6. ICBS: Athens, Greece. http://icbss.org/media/110_original.pdf

⁵ Světová banka. (2013). *What Is Governance?*

<http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/MENAEXT/EXTMNAREGTOPGOVERNANCE/0,,contentMDK:20513159~menuPK:1163245~pagePK:34004173~piPK:34003707~theSitePK:497024,00.html>

⁶ Betts a Wedgwood. (2011). Betts, J. a Wedgwood, H. (2011). Effective Institutions and Good Governance for Development. Evidence on progress and the role of aid. *Evaluation Insights* 4, December 2011. <http://www.oecd.org/derec/unitedkingdom/50313780.pdf>

⁷ Santiso. (2001). *Good Governance and Aid Effectiveness: The World Bank and Conditionality*. The Georgetown Public Policy Review 7(1), 1-22. http://www.sti.ch/fileadmin/user_upload/Pdfs/swap/swap108.pdf

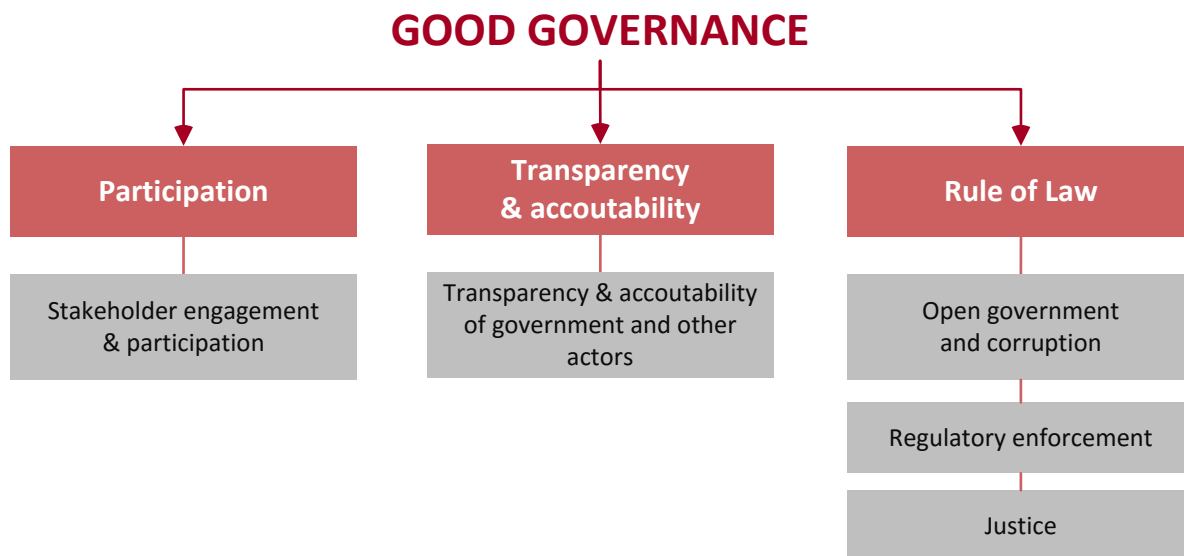
3.1.1 DIMENSIONS OF GOOD GOVERNANCE



The definitions provided above give an indication of the complexity of this cross-cutting theme. *The World Governance Indicators* (WGI), currently the most widely used set of indicators to measure the quality of governance, divide the concept into the following six dimensions: 1. Voice and Accountability, 2. Political Stability and Absence of Violence, 3. Government Effectiveness, 4. Regulatory Quality, 5. Rule of Law, 6. Control of Corruption. Additionally, each of these dimensions consists of a number of subdimensions, which makes it a broad and complex tool. The Methodology thus works with a reduced operationalization of the concept.

Besides reducing the complexity, the Methodology also intends to ensure feasibility of the evaluation of cross-cutting themes within the reality of development projects. In the effort to make the definition of good governance more focused, the Methodology departs from The Concept of International Development Cooperation of the Czech Republic for the period of 2010-2017, which emphasizes the elements of **participation**, **participatory decision-making** and **transparency**. While The Concept describes the principle of good governance rather narrowly in relation to the implemented projects and the project cycle, the Methodology also contemplates areas, which are not directly related to the project cycle but which would, in an ideal case, be positively influenced by the project. Some of them have been specifically selected with consideration of future priorities of the new development strategy of the Czech Republic currently in preparation. Figure 1 shows a schematic representation of the dimensions of the concept of good governance used in this Methodology.

Figure 1: Dimensions of good governance



3.2 ENVIRONMENT (SUSTAINABLE DEVELOPMENT)



Since the 1980s, there has been a growing importance of a global dialogue on the need for policies to protect the environment in the planning and implementation of development activities, which resulted in the creation and expansion of the concept of sustainable development.⁸ Sustainable development is frequently considered an ideal approach to

⁸ Cobbinah, P.B., Erdiaw-Kwasie, M.O. a Amoateng, P. (2015). Rethinking sustainable development within the framework of poverty and

development as it comprises these three key pillars: environmental, social and economic.⁹ This approach is based on the belief that economically, environmentally and socially sustainable society is a prerequisite for ensuring that individuals and organizations can thrive and develop. Economic sustainability is essential for providing future income and resources, environmental sustainability refers to the ways of stabilizing the ecosphere to foster and protect life (including providing water and food), and social sustainability characterizes society that protects and enhances the quality of life of its members and provides guarantees of respect for human rights.¹⁰

3.2.1 ENVIRONMENTAL DIMENSIONS



The three aforementioned pillars of sustainable development are intertwined not only with each other but also with other cross-cutting themes in this Methodology. For instance, the social pillar is linked to respect for human rights, women empowerment and empowerment of the poor, poverty eradication, finding alternative livelihoods for the rural poor etc. Some of the elements of sustainable development are thus being dealt with in other cross-cutting themes in this Methodology, a reason why the focus here is primarily on the environmental pillar.

The major environmental issues typically include degradation of natural resources (land, water, forests, fauna etc.), pollution (water, soil, air, etc.), loss of habitats and biodiversity, increased natural hazards, including the worsening of the greenhouse effect, reducing food quality and endangering the health of consumers.¹¹ In addition, the World Bank assess the compliance of individual projects with national sustainability policies and strategies; it assesses the techniques, materials and resources planned to be used in proposed development projects; evaluates the probability of occurrence and severity of risks that may cause environmental damage in case of accidents. Last but not least, evaluation of the quantity and quality of mitigation measures put in place, available capacity for monitoring and management of environmental risks such as the existence of appropriate legislation and supervisory authorities with adequate powers also form an important part of the assessment.

The subdimensions of the environmental pillar used in the Methodology cover the basic areas of the environment that can be affected by development interventions. They also include the ways by which the use and protection of natural resources is managed and regulated, i.e., environmental governance (see Figure 2).

urbanisation in developing countries. *Environmental Development* 13, 18-32. <http://dx.doi.org/10.1016/j.envdev.2014.11.001>

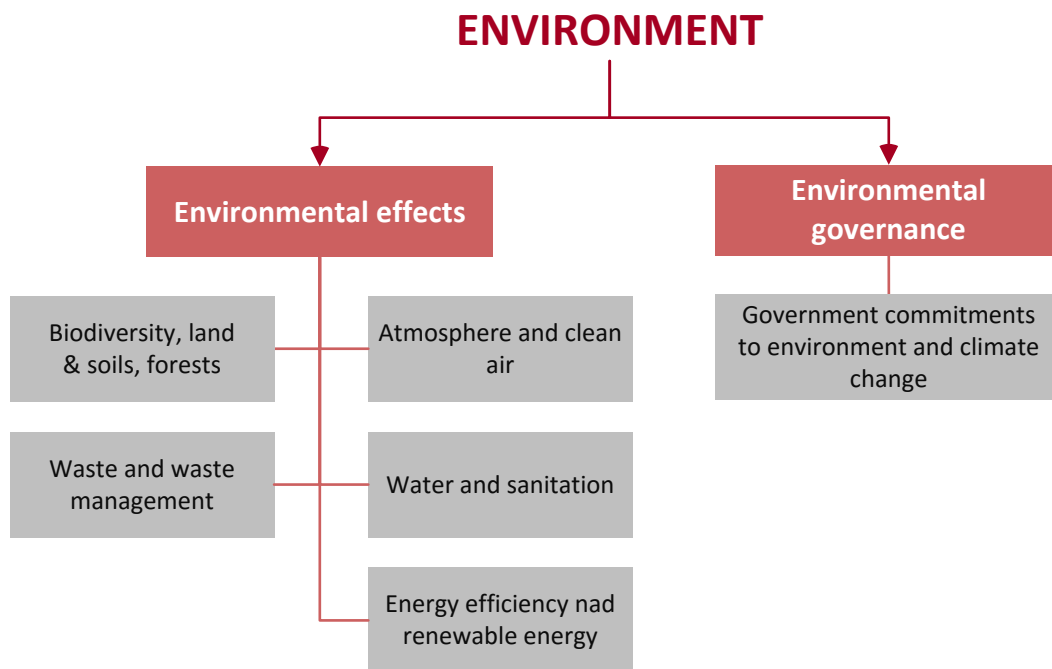
⁹ Franklin, A. a Blyton, P. (2011). Sustainability Research: An Introduction. In Franklin, A. A Blyton, P. (Ed.), *Researching Sustainability. A guide to Social Science Methods, Practice and Engagement* (3-16). Abingdon, Oxon: Earthscan.

¹⁰ Hopwood, A., Unerman, J. a Fries, J. (2010). Introduction to the Accounting for Sustainability Case Studies. In Hopwood, A., Unerman, J. a Fries, J. (Ed.), *Accounting for Sustainability. Practical Insights* (1-28). London, UK: Earthscan.

¹¹ Punkari, M., Fuentes, M., White, P., Rajalahti, R. a Pehu, E. (2007). *Social and Environmental Sustainability of Agriculture and Rural Development Investments: A Monitoring and Evaluation Toolkit*. Agriculture and Rural Development Discussion Paper 31.

<http://siteresources.worldbank.org/INTARD/Resources/ESmetoolkit.pdf>

Figure 2: Dimensions of the concept Environment



3.3 HUMAN RIGHTS



Human rights are rights, which belong to all individuals because they are human beings.¹² The collective term "human rights" refers to the civil, cultural, economic, political and social rights that belong to all human beings irrespective of their nationality, place of residence, gender, sexual orientation, national or ethnic origin, color, health, religion or language.¹³ In this Methodology, they are grouped in the dimension of „basic human rights“. Wherever there is a right, there is a corresponding duty to fulfil that right. Every particular right, therefore, entails the existence of those who hold the legal entitlement to it (the ‘right-holders’) and those who are under a duty to take appropriate measures to uphold the right (the ‘duty-bearers’). Such measures may be in the form of action that the duty-bearer should take — for example, passing legislation to help ensure a healthy environment or decent conditions of work — or action that the duty-bearer should not take, such as permitting the use of torture or denying access to education on grounds of race or gender.¹⁴

Human rights standards provide a framework for equality and non-discrimination that should ensure that the benefits achieved by the development will be accessible also to the most disadvantaged. The closely interwoven relationship between human rights and development was further reinforced in 1986 when the General Assembly of the United Nations adopted The Declaration on the Right to Development. This declaration firmly transferred human rights into the development arena, by

¹² Donnelly, J. (2003). *Universal Human Rights in Theory and Practice*. 2nd Edition. Ithaca: Cornell University Press.

¹³ UNEG. (2011). Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance. Guidance document. <http://www.uneval.org/document/detail/980>

¹⁴ UNDP (2005). *Human Rights in UNDP – Practice Note*. UNDP, New York. http://www.undp.org/content/undp/en/home/librarypage/democratic-governance/human_rights/hrinundp.html

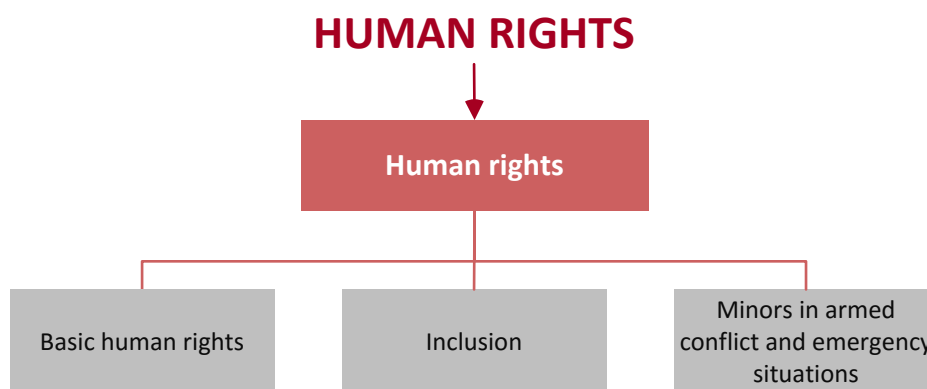
providing that the right to development (i.e., the right to participate and enjoy economic, social, cultural and political development) is an inalienable human right belonging to all people and nations.¹⁵

3.3.1 DIMENSIONS OF THE CONCEPT OF HUMAN RIGHTS AND GENDER EQUALITY



The Methodology extends the “classical” conception of human rights, i.e., basic human rights, their promotion and the establishment of legal framework with the dimension of Inclusion, which is a response to persistent, systematic inequality in many developing societies where certain groups are excluded from society, whether because of poverty, gender or belonging to ethnic, religious, or other minorities (see Figure 3). In addition, with recent global trends pertaining to migration, conflict and natural disasters, a dimension covering the specific situation of minors in such context was added.

Figure 3: Dimensions of the concept of human rights



3.4 GENDER EQUALITY



In the development discourse, **gender** represents the socially constructed roles, behaviours, and attributes considered appropriate for men and women in a given society at a particular point in time.¹⁶ Gender also includes the duties and opportunities associated with men and women, as well as the hidden power structures that govern relations between them. The whole concept of gender is based on the principle that inequality between men and women is not determined by biological factors but that it is entirely determined by learned, unequal and unfair treatment that is accorded to women socially.

Gender equality refers to equal rights, responsibilities and opportunities of women and men. Equality does not mean that women and men will become the same, but that women’s and men’s rights, responsibilities and opportunities will not depend on whether they were born male or female.¹⁷ From a development perspective, gender equality is achieved when women and men have equal rights, the same outlook on life and life opportunities and equal power to shape their own lives and contribute to

¹⁵ Birdsall, W. (2014). Development, Human Rights, and Human Capabilities: The Political Divide. *Journal of Human Rights* 13, 1–21.

¹⁶ Espen, E. a Bell, E. (2007). *Gender and Indicators*. Supporting Resources Collection. BRIDGE. Institute of Development Studies, University of Sussex. <http://www.bridge.ids.ac.uk/sites/bridge.ids.ac.uk/files/reports/IndicatorsSRCfinal.pdf>

¹⁷ UNEG. (2011). Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance. Guidance document. <http://www.uneval.org/document/detail/980>

society.¹⁸ Rather than narrowing the concept down solely to the question of women's position in society, the Methodology interprets it as an area that concerns both women and men and it seeks, through a sensitive design of indicators, to involve both groups equally. Gender equality is perceived as a human rights issue and as a precondition and indicator of sustainable development.

3.4.1 DIMENSIONS OF THE CONCEPT GENDER EQUALITY



The Beijing Declaration and Platform for Action, which was adopted at the Fourth World Conference on Women in 1995, defined the following 12 areas of concerns where the position of women should be strengthened and gender equality achieved: Women and poverty; Education and training of women; Women and health; Violence against women; Women and armed conflict; Women and the economy; Women in power and decision-making; Institutional mechanisms for the advancement of women; Human rights of women; Women and the media; Women and the environment; and The girl child. Corresponding development initiatives have focused largely on the following three key domains: Creating more opportunities for women to earn a living and exercise economic autonomy; Enhancing women's political representation and enabling women to have more of a say in the decisions that affect their lives; and Affirming women's rights to have control over their own bodies and a sexuality of their own choosing.¹⁹

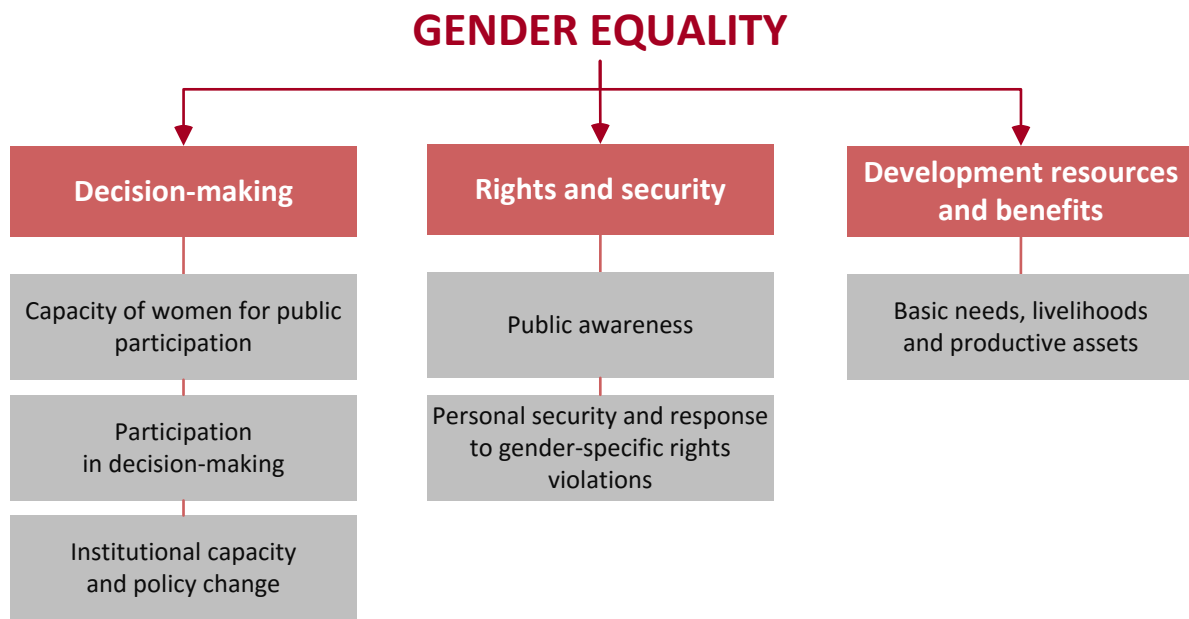
These topics cover practically all areas where current development interventions take place. *Empowerment*, or efforts to improve decision-making power of women and their access to resources, information and services, represents one of the key components in the gender equality domain. There has also been a notable shift in the leading paradigm on gender in the field of development from the 'Women in development' (WID) approach to the 'Gender and development' (GAD) paradigm. While WID was mostly focusing solely on disadvantaged women, GAD emphasizes the role of men in gender issues and especially the need to involve both women and men in developing interventions that are designed to contribute to a greater gender equality. These discourses have been reflected in the design of the methodology where the concept of gender equality is divided into three key dimensions – decision-making, rights and security of women and distribution of development resources that are further subdivided into six sub-dimensions (see Figure 4).

¹⁸ Dover, P. (2014). Gender and Development Cooperation: Scaling up Work with Men and Boys. *IDS Bulletin* 45(1), 91-98.

¹⁹ Cornwall, J. and Edwards, A. (2015). Beijing+20: Where Now for Gender Equality? *IDS Bulletin* 46.4.

https://opendocs.ids.ac.uk/opendocs/bitstream/handle/123456789/7743/IDSB_46_4_10.1111-1759-5436.12149.pdf?sequence=1

Figure 4: Dimensions of the concept of gender equality



4. TOOLS

The Methodology works with two basic tools – a Cross-cutting Theme Indicator Matrix and a Scoring Sheet. The Matrix is the backbone of the Methodology, which contains a detailed operationalization of each cross-cutting theme through dimensions and subdimensions down to specific indicators. The scoring sheet is a tool to capture the information and assessment ascertained through the evaluation and provide a concise graphic summary as a result of the evaluation of the cross-cutting themes.

4.1 CROSS-CUTTING THEME INDICATOR MATRIX

By the means of extensive research based on available published and grey literature, as well as drawing on numerous technical reports of international organizations and national development agencies of donor countries, the four cross-cutting themes have been operationalized into several dimensions, which have been further divided into subdimensions with the objective to capture in the most comprehensive and yet concise manner the content of each of the broad and complex theme. The result of this process is depicted in the schemes in Section 3.

Subsequently, each subdimension was accompanied with a description of its components and a set of judgment criteria, which indicate the direction, in which a given subdimension should be fulfilled by development projects. In the following step, indicators were assigned to each subdimension based on their quality as output, or outcome indicators. Outcome indicators were further divided into qualitative and quantitative. While quantitative indicators may be easier to measure and assess, the nature of the cross-cutting themes often tends to lend itself to a more qualitative assessment, which is the reason why this Methodology considers qualitative and quantitative assessments equally important and encourages evaluators to work and explore both.

A relatively large number of indicators in all three categories (output, qualitative outcome and quantitative outcome) has been developed for each subdimension in order to provide relevant indicators for the large diversity of projects that are being carried out under the umbrella of ‘development cooperation’. **Evaluators are expected to select only those they consider relevant** for their project, or even add some of their own indicators if deemed necessary.

The Cross-cutting Theme Indicator Matrix (or The Matrix) summarizes all the information in its respective categories for each theme and each dimension and subdimension. The structure of the Matrix is depicted in Table 1. For an example of the first subdimension of the theme Good Governance, see Table 2.

Table 1: Structure of the Cross-cutting Theme Indicator Matrix

Cross-cutting theme	Dimension	Subdimension
Good Governance	1. Participation	1.1 Stakeholder engagement and participation
	2. Transparency & Accountability	2.1 Transparency and accountability of government and other actors
		3. Rule of Law
	3. Rule of Law	3.2 Regulatory enforcement
		3.3 Justice
		Environment & Sustainable Development
1.2 Atmosphere and clean air		
1.3 Water and sanitation		
1.4 Waste and waste management		
1.5 Energy efficiency and renewable energy		
2. Environmental Governance	2.1 Government commitments to environment and climate change	

Human Rights	1. Human Rights	1.1 Basic human rights
		1.2 Inclusion of most disadvantaged groups
		1.3 Minors in armed conflict and emergency situations
Gender Equality	1. Decision-making	1.1 Capacity for public participation
		1.2 Participation in decision-making
		1.3 Institutional capacity and policy change
	2. Rights and security	2.1 Public awareness
		2.2 Personal security and response to gender-specific rights violations
	3. Distribution of Development Resources and Benefits	3.1 Basic needs, livelihoods and productive assets

Table 2 : Cross-cutting Theme Indicator Matrix – example

Impact dimension	Impact subdimension	Subdimension description / explanation	Judgement criteria	Suggested indicators		
				A. Output indicators	B.1 Outcome indicators (qual.)	B.2 Outcome indicators (quant.)
1. PARTICIPATION Increasing citizen participation in local governance.	1.1 Stakeholder engagement and participation Increased capacity of government organizations to engage stakeholders in local/national gov't planning and decision-making. Increased capacity of stakeholders to participate in meaningful consultations and advocacy. Increased understanding on the side of both government authorities and civil society stakeholders of the meaning and role of civil society and civic engagement.	Meaningful stakeholder engagement and participation increases quality of interventions, policies, regulations and other outputs, gains stakeholders' support and ensures sustainability of any adopted measures. Stakeholder engagement and participation can be enhanced/ensured through several strategies: Participation in agenda setting, policy dialogue and decision-making (e.g., multi-stakeholders policy dialogues). Capacity building (e.g. support and targeted assistance to stakeholders on a selected issue). Outreach and awareness raising (e.g., outreach through social media, internet and web based communication material; awareness raising workshops and meetings on selected issues; training and capacity building workshops on selected topics). Support of pilot projects engaging government and civil society representatives in the support of "learning by doing approach"	Local /national governments invite input from civil society, business, trade unions, and other groups on important policy issues before decisions are made and implemented. Local/national governments initiate committees, focus groups, or other partnerships with civil society to address common concerns and needs. Individuals and civil society groups are free and have the capacity to submit petitions, organize demonstrations, or initiate other activities that influence local decision-making. Women, ethnic groups, and other minorities participate in local government/have the capacity to do so. Mainstream media regularly report the views of local civic groups, the private business sector, and other nongovernmental entities about local government policy and performance. Effectiveness of civic	GGO1: Number and type of mechanisms of consultations established. GGO2: Number and type of advocacy/outreach products created. GGO3: Number and type of advocacy/outreach coalitions established. GGO4: Evidence of consultations carried out by project recipient with other project key stakeholders. GGO5: Evidence of provision of sufficient information to project partners, beneficiaries and other key stakeholders to facilitate their meaningful participation. GGO6: Evidence of meaningful participation of female staff or community members in project activities and consultations GGO7: Evidence of meaningful participation of marginalized groups in project activities and consultations. GGO8: Evidence of meaningful participation of all groups in conflict (ethnic and others) in project activities.	GGRL1: Evidence of citizen and other stakeholder groups' ability to present their opinion (empowerment). GGRL2: Evidence of integration of target groups' concerns and/or suggestions to the final version of policies, strategies, directives, plans etc. GGRL3: Evidence of interest/ follow-up from project stakeholders (and particularly beneficiaries) on project results and their sustainability. GGRL4: Evidence of continuous participation of key stakeholders in activities and dialogues with project recipient after project end. GGRL5: Evidence of government entities' increased activity in consultation processes with civil society. GGRL6: Evidence of increased government tolerance to opposing views expressed by civil society or other opposition groups. GGRL7: Evidence of advocacy and outreach	GGRN1: Percentage and type of civil society recommendations and reports accepted in decision making. GGRN2: Number and type of consultation mechanisms that are functioning after project end. GGRN3: Number and type of participation opportunities provided by government entities that were included in a project. GGRN4: Number and type of stakeholder coalitions that are functioning after project end. GGRN5: Number and type of media products (article, video, reportage etc.) covering views of supported stakeholder groups, incl. minority groups. GGRN6: Number of joint petitions and/or voiced concerns presented by groups supported from project. GGRN7: Occasions of consensus or concerted efforts in village(s). GGRN8: Number of public bodies or mechanisms

Impact dimension	Impact subdimension	Subdimension description / explanation	Judgement criteria	Suggested indicators		
				A. Output indicators	B.1 Outcome indicators (qual.)	B.2 Outcome indicators (quant.)
			<p>participation mechanisms, including the protection of the freedoms of opinion and expression, and assembly and association, and the right to petition the government, voice concerns with officials etc.</p>	<p>GGO9: Number of events organized to strengthen local groups' participation in community-based decision making.</p> <p>GGO10: Participation mechanisms introduced by local/national government bodies with project support.</p>	<p>activities undertaken by supported groups.</p> <p>GGRL8: Evidence of changes achieved as a consequence of advocacy/outreach activities by supported groups.</p> <p>GGRL9: Evidence of target groups' influence on decision making.</p> <p>GGRL10: Evidence of increased capacity of CSOs to engage in policy dialogues.</p>	<p>(committees etc.) that regularly invite input from non-governmental stakeholders.</p>

4.2 SCORING SHEET

The interactive scoring sheet provided in the Excel format is the key tool of the Methodology for the evaluation of cross-cutting themes in development cooperation. It covers all four cross-cutting themes at the level of individual subdimensions to which selected indicators are ascribed and evaluated on the provided scale (see Figure 5 for an example).

Figure 5: Example of the Output and Outcome Indicator Sheet

3. Evaluation of project results – GOVERNANCE							
EVALUATION OF PROJECT CONTRIBUTION TO GOOD GOVERNANCE							
In what way, if any, has the project contributed or worsened the following subdimensions?							
Degree of relevance*	Indicators used**			Impact		Comments	
	A. Output	B.1 Outcome (qual.)	B.2 Outcome (quant.)	Improvement 5 = high, 0 = none	Deterioration 0 = none, -5 = high		
1. Participation 1.1 Stakeholder engagement & participation 10 - Very highly relevant	GGO4: Evidence of consultations carried out by project recipient with other project key stakeholders.			3	0		
	GGOS: Evidence of provision of sufficient information to project partners, beneficiaries and other key stakeholders to facilitate their meaningful participation.			5	0		
		GGR4: Evidence of advocacy and outreach activities undertaken by supported groups.			3	0	
			GGRN4: Number and type of stakeholder coalitions that are functioning after project end.		2	0	
	Other, type in your own indicator	Other, type in your own indicator	Other, type in your own indicator				
	Other, type in your own indicator	Other, type in your own indicator	Other, type in your own indicator				
Total for subdimension 1.1				13	0		
Average evaluation				3,25	0,00		
* Evaluate the degree of project relevance to the subdimension.							
** Select from the dropdown menu the indicators you used to evaluate this subdimension.							
Note: GGO – Good Governance Output indicator; GGR – Good Governance Result indicator							
Degree of relevance*	Indicators used**			Impact		Comments	
	A. Output	B.1 Outcome (qual.)	B.2 Outcome (quant.)	Improvement 5 = high, 0 = none	Deterioration 0 = none, -5 = high		
	GGO24: Number and type of mechanisms to improve operations in the concerned sector.						

The Scoring sheet counts with a system of **weights** where the average score for all the indicators selected for a given dimension is weighted by the selected degree of relevance of the subdimension. The resulting average is thus either maintained the same in case of a very high relevance indicated by the number 10, or lowered by the corresponding degree of relevance. This adjusted average is then reflected in the final graphic result summary list.

Furthermore, the scoring sheet also includes a section of process and context indicators (see Figure 6) for each of the cross-cutting themes, which provides valuable information on the planning and implementation process of the development initiative with respect to the cross-cutting themes and on the broader context, in which the intervention is (was) taking place. As such, this section should be evaluated **prior to** commencing the evaluation of the outputs and outcomes of each of the cross-cutting themes.

Figure 6: Example of the Process and Context Indicator Sheet

2. Process and context characteristics of the project implementation

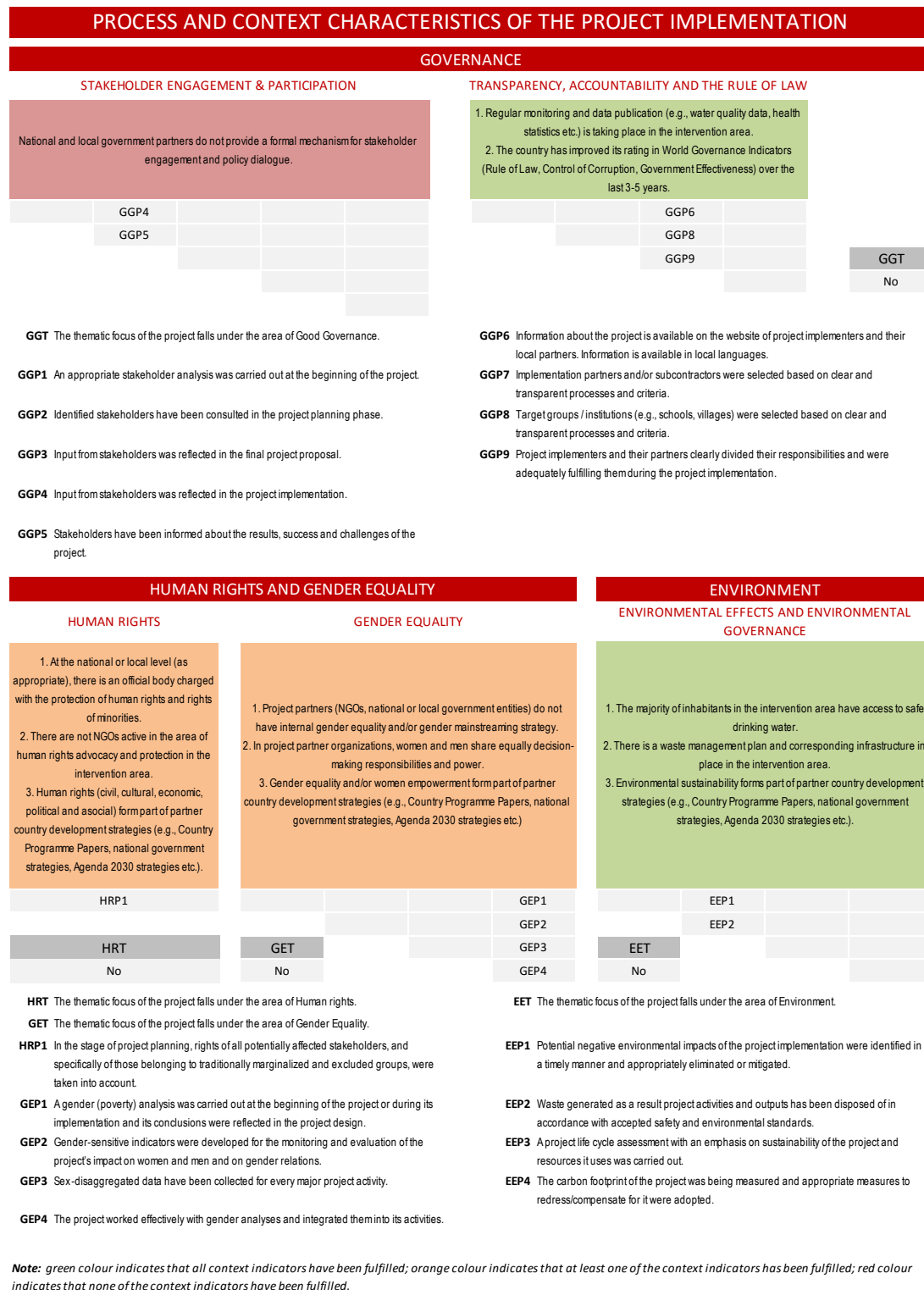
GOVERNANCE			
	Area of assessment	Evaluation**	Comments
	GGT The thematic focus of the project falls under the area of Good Governance.	No	
Stakeholder engagement and participation	GGP1 An appropriate stakeholder analysis was carried out at the beginning of the project.	No	While a local NGO was included as an implementation partner, the project may have missed some opportunities by not involving other players such as government entities or other donors
	GGP2 Identified stakeholders have been consulted in the project planning phase.	No	The project has been planned in a small circle, eg. the affected women were not consulted in the planning stage
	GGP3 Input from stakeholders was reflected in the final project proposal.	No	see above
	GGP4 Input from stakeholders was reflected in the project implementation.	Yes	The initial design of the project was adjusted in light of feedback and reality-check on the ground
	GGP5 Stakeholders have been informed about the results, success and challenges of the project.	Yes	Partners, state authorities and target women were informed about the project results (statistics)
	GGC1 National and local government partners provide a formal mechanism for stakeholder engagement and policy dialogue.	No	There is no regular engagement by national or local health authorities in the affected region
accountability and the rule of law	GGP6 Information about the project is available on the website of project implementers and their local partners. Information is available in local languages.	Yes	There is a short writeup on the web of the implementing organizations (both Chanta and the local one) but the target population usually does not access internet for information
	GGP7 Implementation partners and/or subcontractors were selected based on clear and transparent processes and criteria.	No	The selection was made based on past experience with the local organization
	GGP8 Target groups / institutions (e.g., schools, villages) were selected based on clear and transparent processes and criteria.	Yes	Within the intended region, all villages and their inhabitants were targeted by the advocacy campaign and all women in those villages had the opportunity to undergo a medical exam
	GGP9 Project implementers and their partners clearly divided their responsibilities and were adequately fulfilling them during the project implementation.	Yes	The responsibilities were clearly divided since the onset of the project implementation and worked well

← EVALUATION RESULTS PROJECT **PROCESS AND CONTEXT** GOVERNANCE GENDER ENVIRONMENT +

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After entering values for all the process, context and selected output and outcome items, the interactive scoring sheet will generate a concise, graphic summary of the overall evaluation of the cross-cutting themes for the intervention as a whole (see example in Figure 7 and Figure 10).

Figure 7: Example of the Evaluation Summary – Process and Context Characteristics



The upper portion of the graphic summary (Figure 7), presents the evaluation of the process and context indicators for each of the cross-cutting themes. For each theme, the applicability of context indicators for the intervention setting will be marked in a box coloured either in red, orange or green. Green colour means that all context indicators have been met/apply to the intervention context (and

are marked by answers “yes” in the corresponding sheet completed by the evaluator) while orange means that some context indicators apply and some do not and red indicates that no context indicator is applicable to the intervention settings. If there is only one context indicator for the theme, the box will be either green or red (see example in Figure 8). Those boxes will be coloured automatically after the evaluator enters the answers for each of the context indicators in the corresponding list in the Sheet.

Figure 8: Example of fulfillment of context indicators

PROCESS AND CONTEXT CHARACTERISTICS OF THE PROJECT IMPLEMENTATION											
GOVERNANCE											
STAKEHOLDER ENGAGEMENT & PARTICIPATION					TRANSPARENCY, ACCOUNTABILITY AND THE RULE OF LAW						
National and local government partners do not provide a formal mechanism for stakeholder engagement and policy dialogue.					1. Regular monitoring and data publication (e.g., water quality data, health statistics etc.) is taking place in the intervention area. 2. The country has improved its rating in World Governance Indicators (Rule of Law, Control of Corruption, Government Effectiveness) over the last 3-5 years.						
GGP4						GGP6					
GGP5						GGP8					
						GGP9					
								GGT			
								No			

On the contrary, the fulfillment of process indicators for each theme will be indicated in the grey boxes under the context indicators. Each process indicator, which will be marked as fulfilled by an answer “yes” entered by an evaluator to the corresponding field in the sheet, will appear in the graphic summary by its code (e.g., GGP6, GEP2, EEP1 etc.) (see Figure 9). The full formulation of the indicator is listed under the table. Note that only indicators marked as fulfilled will appear listed in the grey boxes under the context indicators. In addition, there is a small grey box on the right hand side next to the process indicators, which indicates whether the intervention was also thematically directly focused on the cross-cutting theme (Figure 9).

Figure 9: Example of fulfillment of process and thematic indicators

PROCESS AND CONTEXT CHARACTERISTICS OF THE PROJECT IMPLEMENTATION											
GOVERNANCE											
STAKEHOLDER ENGAGEMENT & PARTICIPATION					TRANSPARENCY, ACCOUNTABILITY AND THE RULE OF LAW						
National and local government partners do not provide a formal mechanism for stakeholder engagement and policy dialogue.					1. Regular monitoring and data publication (e.g., water quality data, health statistics etc.) is taking place in the intervention area. 2. The country has improved its rating in World Governance Indicators (Rule of Law, Control of Corruption, Government Effectiveness) over the last 3-5 years.						
GGP4						GGP6					
GGP5						GGP8					
						GGP9					
								GGT			
								No			

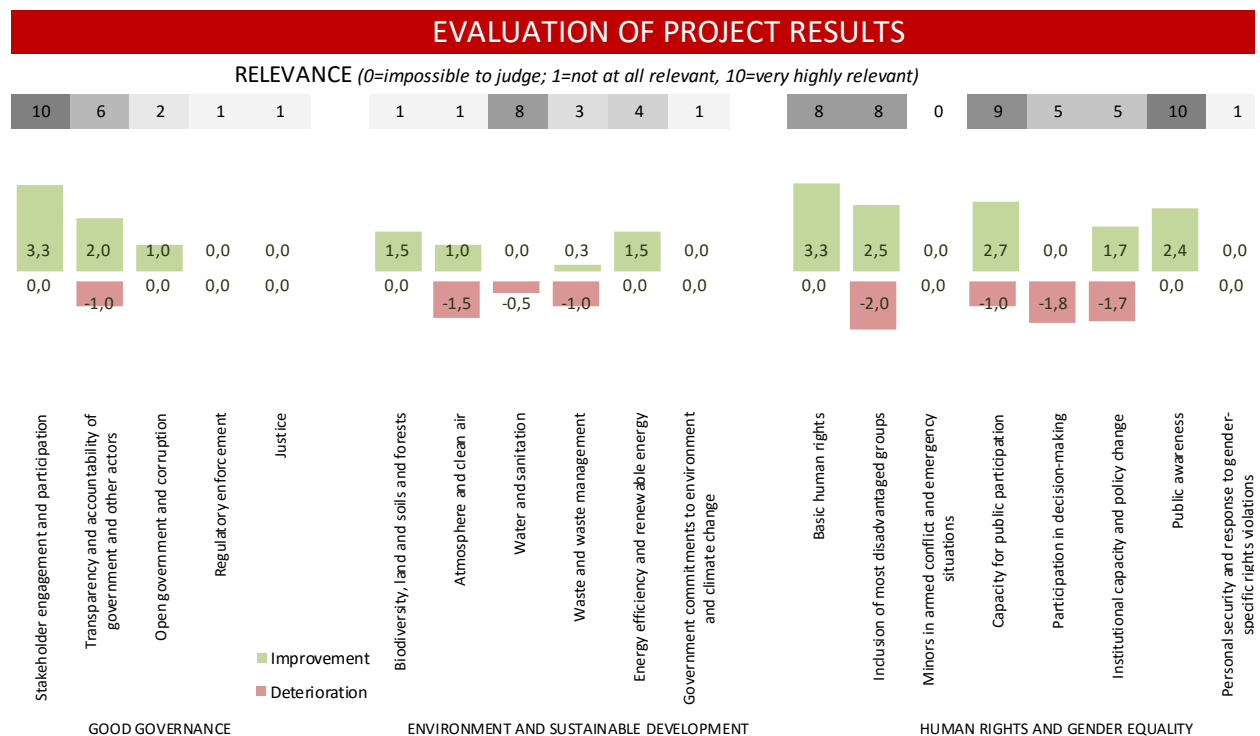
Lastly, the bottom portion of the graphic summary (Figure 10) indicates the degree of relevance that each of the subdimensions has with respect to the evaluated intervention, i.e. to what degree the intervention likely influenced the specific subdimension of the cross-cutting theme (also the likelihood of an achieved effect in this area). Note that relevance here does not refer to the overall relevance of

the intervention to donor’s or partner country’s development priorities as commonly expressed in the OECD DAC evaluation criteria!

The degree of relevance is indicated in the grey boxes in the top line of the graph where the higher the number and the darker the colour, the higher the degree of relevance of this specific subdimension. The columns below the indication of relevance depict the most important portion of the methodology – the positive and negative effects the project had on these cross-cutting areas.

Data for each subdimension are indicated in columns, starting from the degree of relevance in the top line to the recording of the positive and negative effects in colour-coded columns underneath. The degree of relevance of the project to the content of the subdimension is indicated in a grey box where the higher the relevance (indicated by a number from 1 – not at all relevant to 10 – very highly relevant), the darker the grey colour. The column that follows below indicates the positive and/or negative effect captured by the evaluation, resulting from averaging the scores awarded to each of the selected output and outcome indicators within the subdimension weighted by its degree of relevance. Each subdimension receives its own averaged score based on the values assigned to the corresponding indicators. If the project had positive impact on the subdimension, the column will be green, facing upward and indicating the value (strength) of the positive impact on a scale from 5 – high positive impact to 0 – no positive impact. If there was a negative impact, the column will be red, facing downward and also indicating the strength of the negative impact. In some cases, both positive and negative impacts may have been generated and both columns will be present. From the size of the columns, as well as from the values indicated in each, the reader may judge whether the positive or the negative impact prevails and how significant they are.

Figure 10: Example of the Evaluation Summary – Outputs and Outcomes



Note: Improvement: 0=none, 1 to 3=partial, 4 to 5=high; Deterioration: 0=none, -3 to -1=partial, -5 to -4=high

4.2.1 PROJECT CHARACTERISTICS

The following section provides a brief description of each of the items included in the list of Project characteristics in the Scoring Sheet.

1.1 Availability of project results

This item should answer the question whether it is possible to evaluate project results at this point, i.e.: Has the project reached a stage where it is producing results? Are there sufficient data available to actually evaluate these results?

1.2 Project implementation phase

Is the project ongoing or has it been finished? Considering the implementation phase will have impact on the evaluation approach and the probability of capturing all the effects (or final effects) of the intervention.

1.3 Relationship to other projects

Is the project a continuation of similar initiative or a pilot with the same focus? Or was it a pilot which was followed by another similar intervention? Considering this aspect will have an impact on the evaluation approach, efforts to separate effects attributable to each intervention etc.

1.4 Context of other projects

Is the intervention the only one of its kind in the given location and/or sector? Or does it fall to a broader strategy implemented solely or jointly with other donors?

1.5 The project had positive influence on implementation

Has the intervention influenced positively any other interventions, for example, by sharing lessons learned, developing contacts with local partners, preparing conditions for the roll out of other projects or entry of other donors/partners? Has the effect been manifested at the level of implementation or results of this other intervention or both?

1.6 The project had negative influence on implementation

Has the intervention influenced negatively any other interventions, for example, by cancelling out its effect, dividing or lowering out the final effects by distracting resources, acting contradictory, failing to coordinate etc.?

4.2.2 PROCESS AND CONTEXT INDICATORS

The following section provides a brief description of each of the items included in the list of process and context indicators in the Scoring Sheet. These indicators should help to describe the process of implementation of the intervention as well as some more general context in which the intervention took place. Their role is complementary and is meant to help to explain the overall effects of the intervention on the cross-cutting themes. For instance, if, despite the intervention's targeted efforts in one of the cross-cutting areas, the evaluation finds out that no significant effects were achieved in that

domain, the context or process items may indicate that the issue had been already advanced in the intervention area prior to the intervention or that there were process failures during the implementation, which jeopardized the achievement of the results.

Importantly, while these issues are meant as complementary to the overall evaluation of the cross-cutting themes, they may turn into the key part of the evaluation of cross-cutting themes in case of interventions that were unlikely to achieve any longer-term effects or impacts (e.g., due to their design that has not elaborated the outcome and impact level).

Each item is evaluated on a four-point scale: *to a great extent, somewhat, very little, not at all*. The degree of fulfillment of each should be judged by the evaluator based on all available data and information. The description of each item is based on the ideal state where it has been fulfilled *to a great extent*. It is up to the evaluator to conclude whether the criterium has been fully, partially or slightly met or not met at all. The descriptions below are organized according to each cross-cutting theme to which they belong. Under each theme, contrary to the Scoring Sheet, all process items are listed first, followed by all context items pertaining to the theme.

Note that all items should be assessed to the best possibility of the evaluator. However, it may happen that some items will not be relevant to the evaluated intervention. In such case, leave the response column blank and explain in the comment.

GOOD GOVERNANCE

GGT The thematic focus of the project falls under the area of Good Governance.

Select *to a great extent* if the project falls under the sector Good Governance, i.e. its main thematic focus is on promoting/supporting good governance.

GGP1 An appropriate stakeholder analysis was carried out at the beginning of the project.

Select *to a great extent* or *somewhat* if a systematic analysis (or at least a thorough thought) of intervention stakeholders was carried out by project planner and implementers in the planning and design phase.

GGP2 Identified stakeholders have been consulted in the project planning phase.

Select *to a great extent* or *somewhat* if stakeholders identified in the stakeholder analysis were consulted or otherwise involved in the project design.

GGP3 Input from stakeholders was reflected in the final project proposal.

Select *to a great extent* or *somewhat* if there is evidence that the suggestions, information or other input gathered from stakeholders was integrated in the final project design.

GGP4 Input from stakeholders was reflected in the project implementation.

Select *to a great extent* or *somewhat* if there is evidence that the project implementer(s) worked actively with inputs and feedback from the project stakeholder groups throughout the implementation.

GGP5 Stakeholders have been informed about the results, success and challenges of the project.

Select *to a great extent* or *somewhat* if there is evidence that the project implementers (have) actively communicated the project results, success and/or challenges to the identified stakeholders.

GP6 Information about the project is available on the website of project implementers and their local partners. Information is available in local languages.

Select *to a great extent* or *somewhat* if basic information about the project such as its objective, intervention location, implementation period and the implementing organizations can be found on the website of the implementing organizations, their partners, local authorities or funding agencies. To ascertain transparency, information should be available in the local language(s).

GGP7 Implementation partners and/or subcontractors were selected based on clear and transparent processes and criteria.

Select *to a great extent* or *somewhat* if the partner organizations or subcontractors who carried out parts of the intervention have been selected through a transparent and fair process such as a tender, call for applications or at least selected based on a list of pre-determined criteria out of more than one option. In case they have been involved based on a previous positive experience, the answer is *no*, although it does not necessarily mean that the project has been carried out in a non-transparent manner.

GGP8 Target groups / institutions (e.g., schools, villages) were selected based on clear and transparent processes and criteria.

Select *to a great extent* or *somewhat* if target groups or institutions such as villages, schools, income level groups etc. were selected based on a sound rationale that included the analysis of available information (reports, statistics etc.) and consultations with entities knowledgeable of the local context (e.g., local experts, local NGOs, the embassy etc.). If the project does not include all possible target groups, there should be evidence of transparent criteria used to select those that were served by the intervention.

GGP9 Project implementers and their partners clearly divided their responsibilities and were adequately fulfilling them during the project implementation.

In order to enhance transparency and accountability, the roles and responsibilities between implementing (and partner) organizations should be clearly divided at the onset of the implementation based on possibilities and skills of each entity involved. Select *to a great extent* or *somewhat* if there is evidence that such division took place and all players involved fulfilled their roles in the actual implementation of the project. In case that division had taken place but the players did not fulfill their obligations in the actual implementation, the answer will be *no* (unless a reasonable justification exists). In case there was no formal division of roles and responsibilities at the beginning but all partners involved acted as there was one for the duration of the intervention, the answer will most likely be *to a great extent* or *somewhat*.

GGC1 National and local government partners provide a formal mechanism for stakeholder engagement and policy dialogue.

Select *to a great extent* or *somewhat* if there is evidence that the relevant local or national government entities (or other bodies as appropriate in the context of the intervention) provide a formalized mechanism through which they engage stakeholders and carry out policy dialogue with civil society. A formalized mechanism may take the form of a formally established group or a forum that meets on a regular basis, counts with a stable membership, has an established management structure where both the government and civil society members take part, minutes from meetings are taken and made public etc. In some circumstances, the engagement mechanism may be online rather than face to face.

GGC2 Regular monitoring and data publication (e.g., water quality data, health statistics etc.) is taking place in the intervention area.

Select *to a great extent* or *somewhat* if there is evidence that relevant information is gathered and published by authorities in the intervention area. The nature of the information will depend on the focus of the intervention and may relate to social, economic or environmental development (or combination of these). Attention should also be paid to data collection and reporting in relation to the fulfillment of the SDGs. The purpose of all such activity should be to transparently monitor and reflect on the current state of development and accurately inform the public.

GGC3 The country has improved its rating in World Governance Indicators (Rule of Law, Control of Corruption, Government Effectiveness).

- Data for the evaluation of the item may be accessed at the World Governance Indicators [website](#) under the tab *Interactive Data Access*.
- To generate the data, select on the right-hand side the three indicators: Government effectiveness, Rule of law and Control of corruption, then select the country from the list below. The results will show the country's score on the WGI in these three indicators for all the years available (currently 2005, 2010 and 2015).
- In the interpretation of the data, focus predominantly on the change (if any) recorded in the score between the two last evaluations (i.e. 2010 and 2015), however, it may be of relevance to the evaluation to interpret the overall trend since 2005.

ENVIRONMENT

EET The thematic focus of the project falls under the area of Environment

Select *to a great extent* if the project falls under the sector Environment, i.e. its main thematic focus is on promoting/supporting sustainable development and/or rehabilitation of environmentally damaged areas.

EEP1 Potential negative environmental impacts of the project implementation were identified in a timely manner and appropriately eliminated or mitigated.

Select *to a great extent* if there is evidence that those responsible for project planning and formulation have given due consideration to potential negative environmental impacts of the intervention and in case that such effects were identified, an appropriate course of action was adopted to prevent or minimize (to a justifiable level) these impacts and/or mitigate them. Note that potential negative environmental impacts may not be clearly visible or predictable at first sight, therefore, there should be evidence of due consideration, analyses and consultations (public and/or technical) to support the *yes* answer.

EEP2 Waste generated as a result of project activities and outputs has been disposed of in accordance with accepted safety and environmental standards.

It is not uncommon that the services or goods resulting from an intervention, or the machines installed and processes established generate additional waste that had not been dealt with prior to the intervention. In some cases, this waste may be hazardous and pose additional risks to the population or environment if not properly disposed. While the increase in waste may be well justifiable by the good that these services or products provide, an appropriate strategy for its safe disposal need to be in place. Select *to a great extent*, if there is evidence that the waste has been disposed of in accordance with

accepted safety and environmental standards. In case no waste has been generated by the project, leave the response column blank and explain in the comment section that the item is not relevant.

EEP3 A project life cycle assessment with an emphasis on sustainability of the project and resources it uses was carried out.

Life cycle assessment is a technique to assess environmental impacts associated with all the stages of a product's life from raw material extraction through materials processing, manufacture, distribution, use, repair and maintenance, and disposal or recycling. However, in this context, **life cycle is conceived more broadly as the assessment of the environmental impact of the intervention since the beginning till the end** (which may be well beyond the actual end of the funding period). All aspects of the intervention, its products and effects both directly and indirectly generated should be considered in the long-term, including the disposal of waste, disposal of equipment provided when this can no longer be used, resources required to continue operating the equipment/facility/system etc. Select *to a great extent* if there is evidence that such considerations have been taken into account and built in the project design and, most importantly, into the exit strategy.

EEP4 All possible strategies and means for decreasing the intervention's carbon footprint or any other negative environmental effects have been applied during the project implementation phase.

Select *to a great extent* if there is evidence that strategies and means for decreasing the intervention's carbon footprint or other negative environmental effects generated throughout the life of the intervention have been adopted to a reasonable extent, i.e. they should be sufficiently ambitious to eliminate or compensate for these effects.

EEP5: Applied methods and technology for project implementation are sustainable from the environmental point of view.

Select *to a great extent* if there is sufficient evidence that all methods and technology used to implement or sustain the intervention are sustainable from the environmental point of view. For example, some strategies may be adopted, which would allow the intervention to continue after the withdrawal of the initial funding, however, these strategies may be environmentally inefficient or motivate people to behaviours, which are not sustainable from the environmental point of view.

EGC1 Relevant environmental strategies, plans, services and/or technologies (e.g., a waste management plan, stable safe water supply etc.) are in place in the intervention area.

Select *to a great extent* if there is sufficient evidence that relevant environmental strategies, plans services and/or technologies such as a waste management plan, infrastructure to supply safe drinking water to the majority of local population or to ensure safe sanitation facilities are (or had been) already in place in the intervention area (irrespective of the activities of the intervention).

EGC2 Environmental sustainability forms part of partner country development strategies (e.g., Country Programme Papers, national government strategies, Agenda 2030 strategies etc.).

Select *to a great extent* if environmental sustainability is included among priority development areas in a Country's recent development strategy.

HUMAN RIGHTS

HRT The thematic focus of the project falls under the area of Human rights.

Select *to a great extent* if the project falls under the sector Human rights, i.e. its main thematic focus is on promoting Human rights.

HRP1 In the stage of project planning, rights of all potentially affected stakeholders, and specifically of those belonging to traditionally marginalized and excluded groups, were taken into account.

Select *to a great extent* if there is evidence that the project planning and implementation team gave due consideration to the rights of all groups of potentially affected stakeholders and, where relevant, specifically to those traditionally marginalized or in a less favourable condition to claim their rights. To be able to give due consideration, a proper analysis of stakeholders, their position in the society and towards the intervention, including their rights towards the location and/or the subject of the intervention usually need to be considered.

HRC1 At the national or local level (as appropriate), there is an official body charged with the protection of human rights and rights of minorities.

Select *to a great extent* if there is an ombudsman or other similar authority overseeing the fulfillment of human rights of all population groups without discrimination. While the ombudsman office would usually act at the national level, there may be human rights commissions established at local (e.g., district) levels.

HRC2 There are NGOs active in the area of human rights advocacy and protection in the intervention area.

Select *to a great extent* if there is at least one NGO or other civil society group in the intervention area that is active (and effective) in the area of human right defence and protection. Such organization should have a proven record or at least a sufficiently strong position and/or resources to be an influential player as a human rights advocate.

HRC3 Human rights (civil, cultural, economic, political and asocial) form part of partner country development strategies (e.g., Country Programme Papers, national government strategies, Agenda 2030 strategies etc.).

Select *to a great extent* if strengthening the human rights framework is included among priority development areas in a Country's recent development strategy.

GENDER EQUALITY

GET The thematic focus of the project falls under the area of Gender Equality.

Select *to a great extent* if the project falls under the sector Gender equality (or Social development with a special focus on women or girls) and its main thematic focus is on promoting/enhancing gender equality and the position of women/girls in society/community.

GEP1 A gender (poverty) analysis was carried out at the beginning of the project or during its implementation and its conclusions were reflected in the project design.

Select *to a great extent* if there is evidence that a gender analysis was conducted at the planning or implementation phase of the project and its conclusions were reflected in the final project design or

activities. Considering that poverty tends to affect differently men and women, it is preferable that income-levels be also considered when conducting a gender analysis.

GEP2 Gender-sensitive indicators were developed for the monitoring and evaluation of the project's impact on women and men and on gender relations.

Select *to a great extent* if the project staff used gender-sensitive indicators throughout the monitoring of the intervention. Gender-sensitive indicators should also be used by any evaluation (e.g., mid-term, final).

GEP3 Sex-disaggregated data have been collected for every major project activity.

Select *to a great extent* if meaningful, quality sex-disaggregated data on project activities, outputs and outcomes are available. Note that this data may have been gathered without monitoring any specific indicators so GEP2 and GEP3 should be considered separately.

GEP4 The project worked effectively with gender analyses and integrated them into its activities.

Select *to a great extent* if there is evidence that the project had effectively applied a gender lens; for instance, its activities were designed and implemented in a gender-sensitive manner based on a previous analysis of gender relations or knowledge of local gender experts etc.

GEC1 Project partners (NGOs, national or local government entities) have internal gender equality and/or gender mainstreaming strategy.

Select *to a great extent* if project partner organizations have a gender mainstreaming strategy. Such strategy would generally exist in writing, however, if different stakeholders agree that gender mainstreaming is systematically applied within the considered organization, this may be accounted as evidence towards a positive answer to the item.

GEC2 In project partner organizations, women and men share decision-making responsibilities and power equally.

Select *to a great extent* if there is evidence that the project partner organizations encourage both men and women in taking decisions and sharing management responsibilities.

GEC3 Gender equality and/or women empowerment form part of partner country development strategies (e.g., Country Programme Papers, national government strategies, Agenda 2030 strategies etc.).

Select *to a great extent* if gender equality and/or strengthening the position of women/girls in society is included among priority development areas in a Country's recent development strategy.

Attention!

Process and context indicators for all four themes are listed on the same list in the Scoring Sheet - do NOT forget to scroll down and provide answers for all the themes.

4.2.3 OUTPUT AND OUTCOME INDICATORS

Output and outcome indicators (both quantitative and qualitative) for each subdimension are being entered into the same table in the Scoring Sheet. **Each of the indicators** should be assessed in terms of both the positive and negative impact. Therefore, the evaluator should make sure that she enters a value in both columns. Unless the project improved and worsened the same area at the same time, one of the values (either positive or negative impact) will typically be “0”.

Each output and outcome indicator listed in the Cross-cutting Theme Indicator Matrix (see below) is described into a detail in the separate Appendix Indicator Fiches.

The **10-point scale** on which each indicator should be evaluated is divided into two portions: positive impact from 5 – high positive impact to 0 – no positive impact, and negative impact from 0 – no negative impact to -5 – high negative impact (see Figure 11).

Figure 11: Scale for impact evaluation

Improvement			Deterioration		
high	partial	none	none	partial	high
5 4	3 2 1	0	0	-1 -2 -3	-4 -5

Attention!

All subdimensions of each theme are listed on the same list in the Scoring Sheet - do NOT forget to scroll down and provide values for all the items!

4.3 THE LINK BETWEEN THE SCORING SHEET AND THE MATRIX

The Matrix serves as a comprehensive overview of the content of the Methodology. It decomposes each cross-cutting theme into its individual components (dimensions and subdimensions), providing explanation of each component in the form of a description and a set of assigned judgement criteria and subsequently proposing indicators to evaluate each component. Therefore, the Matrix is a source document for populating the Scoring Sheets with appropriate indicators.

When the evaluator reaches the second phase of the evaluation process, in which outputs and outcomes at the level of each cross-cutting theme should be evaluated (see Section 5 The Evaluation Approach), she turns to the Matrix to consult the lists of indicators available for each subdimension of each theme. After careful reflection of the nature of the intervention, she selects several indicators (typically at least 2-3 indicators across outputs and outcomes) for each subdimension, which she then enters into the Scoring Sheet, see example in Figure 12.

Figure 12: Indicator selection and transfer from the Matrix to the Scoring Sheet

Step 1 Selection of indicators in the Matrix

3. Human rights and gender equality

Impact area	Impact subareas	Subarea description / explanation	Judgement criteria	A. Output indicators	Suggested indicators	B.2 Outcome indicators (quant.)
1. HUMAN RIGHTS	1 Basic human rights, increased awareness and capacity to promote/respect human rights among right holders and duty bearers. Improved human rights situation of right holders.	<ul style="list-style-type: none"> Human rights define certain minimum standards and rules of procedure to which those in power should or must adhere in their treatment of people. This primarily concerns state authorities such as governments, police or armed forces, but increasingly also those wielding non-governmental power, such as international organisations, business enterprises and/or the private sector in general as well as religious communities or individuals that exert power over other people. The human rights based approach contributes to the emancipation of people who have been traditionally underprivileged and discriminated against. The integration of a human rights-based approach (i.e. human-rights perspective) in development should be geared both to the results of development cooperation programmes as well as the process leading to these. 	<ul style="list-style-type: none"> Knowledge of human rights has improved among target populations (excluded and disadvantaged people, responsible local government bodies). Capacity of citizens, civil society / NGOs to advocate for (their) human rights has increased. Capacity of government (local and national) to respect and ensure respect for human rights of its citizens has increased. 	<ul style="list-style-type: none"> HRO1: Number of members of the community educated on (their) basic human rights. HRO2: Number of civil society organizations trained in human rights advocacy skills. HRO3: Number of civil servants educated on human rights and human rights mainstreaming in policy and decision-making. HRO4: Proportion of staff of the implementing organization and its partners who have been trained in human rights. HRO5: Project initiated or enhanced collaboration between public sector and civil society on the question of human rights. HRO6: Project provided support to local human rights groups. HRO7: Project provided support to vulnerable groups to demand their rights. HRO8: Number and type of educational tools or mechanisms aimed at human rights education of the public developed/deployed. 	B.1 Outcome indicators (qual.) <ul style="list-style-type: none"> HRRL1: Increased awareness and knowledge of basic human rights among project target groups. HRRL2: Evidence of a more rights-based conceptual approach of authorities. HRRL3: Project enhanced respect for rights of traditionally disadvantaged groups. HRRL4: Examples of strategies, projects, programs, budgets lines or policies that favour members of traditionally underprivileged groups adopted. HRRL5: Evidence of increased emphasis on human rights education in country curriculum. HRRL6: Evidence of project contribution to opening channels through which citizens may demand respect for their human rights. 	B.2 Outcome indicators (quant.) <ul style="list-style-type: none"> HRRN1: Number of organizations with increased capacity for advocacy and promotion of human rights as a result of project support. HRRN2: Number of advocacy initiatives on human rights issues undertaken by civil society organizations. HRRN3: Number of policies, regulations and/or strategies adopted by local government authorities that considered human rights or include human rights analysis. HRRN4: Proportion of public officials, community leaders and high managers who belong to underprivileged groups. HRRN5: Number of human rights courses or programs regularly taught in/by participating organizations. HRRN6: Increase in civil society denunciations of human rights abuses and violations.
	1.2 Inclusion of most disadvantaged groups. (People/groups traditionally excluded from the society due to poverty and inequality.	<p>Poverty combined with inequality leads to serious social exclusion that fundamentally impedes participation in otherwise potentially functional market economies. This subarea of human rights dimension aims to assess to what extent the project addressed an issue of poverty and/or inequality of a certain segment of population and through its intervention contributed to their greater inclusion into the society. The level of social exclusion/inclusion is seen as a determining factor for economic transformation. It refers to structural exclusion and not to the output strength of a country's economy as reflected in macroeconomic data like unemployment or GDP growth.</p> <ul style="list-style-type: none"> Factors to be taken into account: <ul style="list-style-type: none"> the overall level of socioeconomic development the poverty rate the level of inequality with regard to – income – education the level of exclusion, based on – gender – religion – ethnicity the scope of subsistence economy (as an indicator for exclusion) (BTI) 	<ul style="list-style-type: none"> Poverty and inequality of parts of the population fundamentally excluded from society has been reduced, which reduced their exclusion. Inequality in learning outcomes has decreased. Access to health services by gender, level of income, ethnicity has improved (rural and urban areas). Access to safe drinking water and adequate food of the poorest has improved. Minorities are free to practise their cultural traditions and religion and speak their language without discrimination. 	<ul style="list-style-type: none"> HRO20: Evidence of equal opportunity for all marginalized groups to participate in project activities. HRO21: The poorest members of the intervention community (e.g. landless etc.) had equal opportunity to participate in project. HRO22: Evidence of equal representation of all ethnic or religious groups in decision-making roles in relation to the intervention. HRO23: Number and type of project activities that favoured participation of disadvantaged groups. HRO24: Evidence of equal treatment of representatives of all ethnic or religious groups by project implementer and partner organizations. HRO25: Evidence of additional barriers to participation in the intervention on the side of ethnic or religious groups. HRO26: Evidence of measures taken by the project implementer to reduce potential barriers to participation of all ethnic or religious groups in the intervention community. HRO27: School enrolment rates of members of underprivileged groups are proportionate to the national average. HRO28: Members of underprivileged groups have equal benefits from project-supported infrastructure, services and training as members of other groups. 	<ul style="list-style-type: none"> HRRL20: All members of the community regardless of income level, ethnicity, religion etc. have had equal benefits from project / equal access to project services/programmes/activities. HRRL21: Project has improved the living standards of the poorest members of the project-affected community. HRRL22: Reported increased sense of relevance of community members and public officials towards minority cultural traditions and religions. HRRL23: Reported increased access / improved quality of health services for members of underprivileged groups. HRRL24: Reported improved approach towards members of underprivileged groups in educational settings. HRRL25: Reported increased economic opportunities for members of underprivileged groups. HRRL26: Reported increased sense of personal safety among minority group members. HRRL27: Evidence of the project promoting cooperation between rival groups. HRRL28: Evidence of the project elevating the living standards of the most vulnerable people. 	<ul style="list-style-type: none"> HRRN20: Number of members of underprivileged groups supported by the project whose average monthly income has increased. HRRN21: Change in proportion of population belonging to underprivileged groups reporting skipping meals due to economic constraints during the past three months. HRRN22: Proportion of children belonging to underprivileged groups who are enrolled in school meals programs for the poorest. HRRN23: Improved educational achievements of children from underprivileged groups compared to other children. HRRN24: Proportion of public officials, community leaders and high-rank managers who belong to underprivileged groups. HRRN25: Number of reported attacks on minority communities motivated by religious, ethnic or cultural differences and/or hate has decreased. HRRN26: Proportion of the most vulnerable people served by the project of the total that could have been served.

Step 2 Entering the selected indicators into corresponding tables of the Scoring Sheet by selecting them from pre-prepared drop-down menus

	A	B	C	D	E	F	G	H	I	J	K	L	M		
1	3. Evaluation of project results – GOVERNANCE														
2															
3	EVALUATION OF PROJECT CONTRIBUTION TO GOOD GOVERNANCE														
4	In what way, if any, has the project contributed or worsened the following subdimensions?														
5															
6															
7		Indicators used**			Impact										
8	Degree of relevance*	A. Output	B.1 Outcome (qual.)	B.2 Outcome (quant.)	Improvement 5 = high, 0 = none	Deterioration 0 = none, -5 = high	Comments								
9	1. Participation 1.1 Stakeholder engagement & participation	10 - Very highly relevant	GG04: Evidence of consultations carried out by project recipient with other project key stakeholders.	Select Indicator 1 based on which you evaluate outputs in this subdimension.		3	0								
10			GG03: Number and type of advices GG04: Evidence of consultations re GG05: Evidence of provision of suff GG06: Evidence of meaningful part GG07: Evidence of meaningful part GG08: Evidence of meaningful part GG09: Number of events organized GG10: Participation mechanisms in		GG04: Evidence of consultations re		5	0							
11					GG09: Number of events organized		3	0							
12						GG04: Evidence of consultations re		2	0						
13					Other, type in your own indicator	Other, type in your own indicator	Other, type in your own indicator								
14					Other, type in your own indicator	Other, type in your own indicator	Other, type in your own indicator								
15					Total for subdimension 1.1	13	0								
16	* Evaluate the degree of project relevance to the subdimension.														
17	** Select from the dropdown menu the indicators you used to evaluate this subdimension.														
					Average evaluation		3,25	0,00							

EVALUATION QUESTIONS

The Matrix (or the Methodology as a whole) does not contemplate actual evaluation questions related to each cross-cutting theme and/or its subdimensions. However, the judgment criteria assigned to each subdimension may be perceived as guidance as they may easily be converted into evaluation questions.

Consider the following example:

Cross-cutting theme: Gender equality

Dimension: 2. Decision-making

Subdimension: 2.3 Institutional capacity and policy change

Judgment criterion: Strengthened implementer/partner capacity to consult with female and male stakeholders on their priorities.

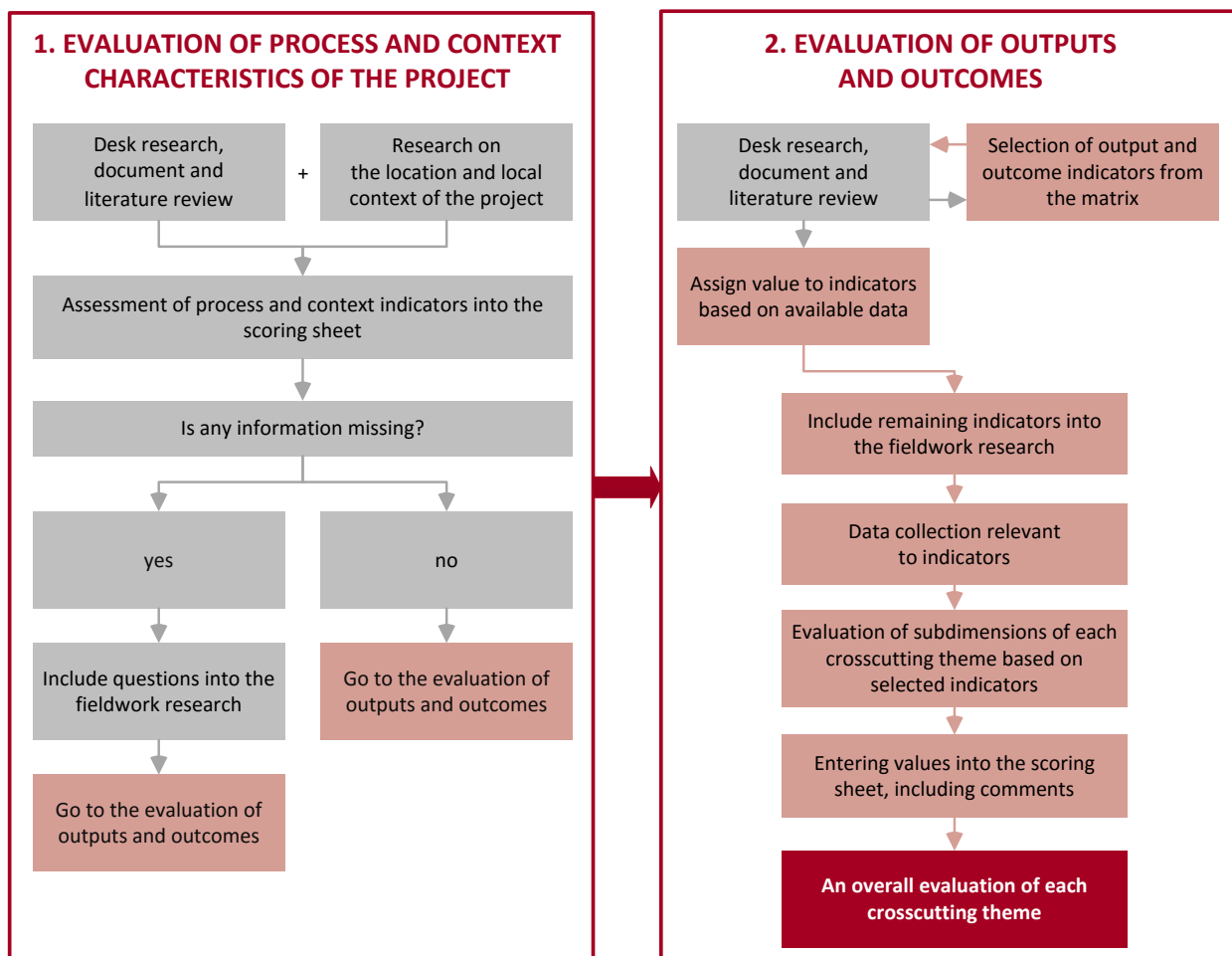
Possible formulation of an evaluation question: To what extent has the project contributed to the strengthening of the capacity of the implementing organization and its partners to consult with female and male stakeholders on their priorities?

5. THE EVALUATION APPROACH

The scheme in Figure 13 provides a general overview of the evaluation process flow according to the Methodology. It starts with the evaluation of the process and context circumstances (Phase 1) of the project to determine the environment in which the project has been developed and implemented. It is assumed that the principal source of information in this first phase will be the project documents and other relevant written materials such as strategic documents of organizations or countries, including statistics etc. If there is information missing on some of the process or context indicators after carrying out the initial desk research and key informant interviews, the evaluator is invited to include these indicators (and related questions) to the design of their fieldwork research.

The second phase, which focuses on the evaluation of the three cross-cutting themes at the level of outputs and outcomes, should also start with a review of available documents that will help inform the selection of appropriate indicators for each subdimension. However, it is assumed that the evaluator will need to collect data in the field and from diverse groups of stakeholders to be able to address the outcome indicators and possibly also the ones related to outputs. The availability of data for output indicators will largely depend on the quality and extent of monitoring conducted during the project implementation.

Figure 13: The Evaluation Process Flow



5.1 THE METHODOLOGY PROCEDURE IN 10 SIMPLE STEPS

1. Get to know the project through document review and initial interviews.
2. Open the Scoring Sheet and enter responses (including comments) for all process and context indicators (List 2).
3. Mark any process or context indicators that could not be evaluated through desk research (to be included in the fieldwork research).
4. Open the Cross-cutting Theme Indicator Matrix and review the dimensions and subdimensions of each cross-cutting theme together with their descriptions and assigned judgment criteria.
5. Select **at least one output and one outcome indicator for each subdimension** of each cross-cutting theme (20 subdimensions in total; 5 for Governance, 6 for Environment, 3 for Human Rights and 6 for Gender). **Do not forget to consider potentially negative effects** of the intervention and include indicators that will reflect those effects.
6. Return to the Scoring Sheet. Start completing the tables for each subdimension of each cross-cutting theme (GOV – List 4, ENVIRONMENT – List 5, HR – List 6 and GENDER – List 7).
 - For each subdimension, indicate the degree of relevance the evaluated intervention has to the subdimension (topic) from 1 – not at all relevant to 10 – very highly relevant. The value of relevance may be selected from the dropdown menu.
 - Moving to the right, select from the dropdown menu the appropriate output and outcome indicators you selected in the previous step. Place **only one indicator on each line**.
 - In case you added your own indicators that are not indicated in the Matrix, type those into the indicated boxes on the bottom of the subdimension tables.
 - If data is available for some indicators based on desk research, enter the corresponding value indicating the degree of positive and/or negative effect that the intervention generated in area reflected by the indicator into the Impact columns. Note that both positive and negative effects may be generated in the same area (e.g., improving the situation of one group of stakeholders but deteriorating the situation of another group).
 - Do not forget to indicate a value for both the positive and the negative impact for each indicator, albeit it be “0”.
 - Include all the remaining indicators into the fieldwork research and design strategies how data can best be collected to address these indicators.
7. Carry out fieldwork research, collect and analyze data.
8. Return to the Scoring Sheet and enter values of positive and/or negative effect for all indicators (or revise those already entered based on newly available data; note that in some cases, revision of process and context indicators may also be warranted).
9. Review the graphic summary of your evaluation on the first list of the Scoring Sheet. Does it truthfully reflect the effect and impact the intervention had on the cross-cutting themes?
10. Copy the graphic summary into your evaluation report and include any other parts of the Scoring Sheet as supporting documentation in the Appendices.

Note

Considering that no single project is equally focused on all four cross-cutting themes, nor on each theme in its entirety, in each evaluation, there will likely be some subdimensions that will be less relevant than others. Evaluators should develop efforts to address each theme in the most comprehensive manner and evaluate as many subdimensions as possible (with the indication of the degree of relevance for each). However, in exceptional circumstances, some dimensions may be deemed unevaluable due to their absolute lack of relevance. For instance, the Human Rights subdimension *1.3 Minors in armed conflict and emergency situations* may seem little relevant to projects focused on building infrastructure. Nevertheless, if the infrastructure is provided, for example, in refugee camps or related settings, the subdimension immediately increases in its relevance, which is why each subdimension needs to be considered on a case by case basis with a careful attention and reflection on the connections (those that are immediately visible and those that are more hidden) among the themes and their components.