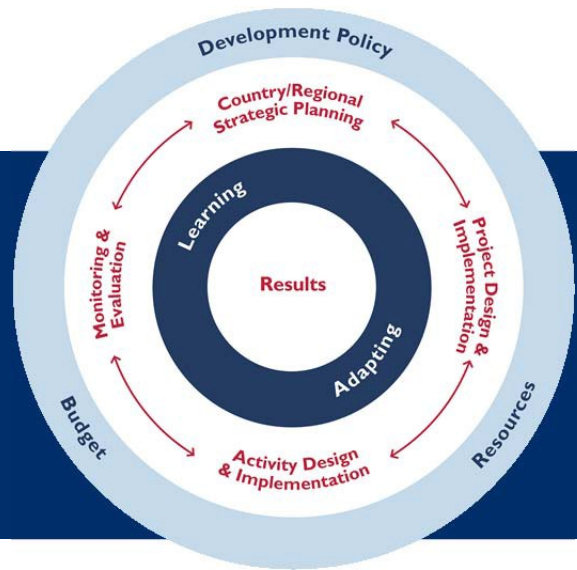


PROGRAM CYCLE

How-To Note: Gender Integration in Performance Plans and Reports



This resource provides guidance on reporting results achieved using Gender Indicators and Key Issues in PPRs.

How-To Notes provide guidelines and practical advice to USAID staff and partners related to the Program Cycle. This note was produced by the Bureau for Policy, Planning and Learning (PPL) and supplements USAID ADS Chapter 205.

Introduction

This How-To Note provides an overview of USAID requirements for reporting on progress toward gender equality and women's empowerment in Performance Plans and Reports (PPRs). This information is used to determine how well USAID activities around the world have met objectives related to gender equality; women's empowerment; gender-based violence (GBV); child, early and forced marriage (CEFM); and women, peace and security (WPS) as defined by the Gender Key Issues and measured using the suite of cross-cutting gender standard foreign assistance indicators.

The PPR is an annual data call for performance information from all Operating Units (OUs) in the U.S. Agency for International Development (USAID) and the Department of State (DoS) that implement foreign assistance programs using foreign assistance funds from the 150 account. The purpose of the PPR is:

1. For all OUs to report progress against strategic objectives; and
2. For Washington bureaus to collect necessary data to conduct their internal learning and external reporting.

PPRs help inform internal learning and decisions related to policy, strategy, budgets, and programs. PPR data also helps Washington comply with external reporting requirements such as congressional reports, the Joint Summary of Performance and Financial Information, and the respective agency financial reports for USAID and DoS, among other uses. Gender-specific information is tracked by USAID/Washington and OUs for many purposes, including reporting for the USAID-DoS Joint Strategic Plan, the annual report on the implementation of USAID's Gender Equality and Female Empowerment (GEFE) Policy, and for reporting results against other gender-related policy documents. Key Issue narratives and uptake of gender indicators are used to respond to congressional inquiries, the Administrator's and the Office of Management and Budget (OMB) budget hearings, program planning, and preparation of briefers to avoid data calls

for mandated annual reports and one-off requests, among other uses.

Through PPRs, target and results information are collected on standard foreign assistance indicators and custom indicators. All standard indicators are required-as-applicable. An indicator is “applicable” if an OU is expected to produce data that contribute to that indicator. Each OU must determine which of the standard indicators are applicable for its PPR, including cross-cutting gender indicators.

A set of frequently asked questions are appended at the end of this How-To Note. For further information on reporting on gender-related results in PPRs, see the suite of gender training courses available through USAID University (especially Gender 102 and Gender 103) and webinars on this topic posted on the ProgramNet page dedicated to the [USAID Gender Equality and Female Empowerment Policy](#).

Reporting on Gender in the PPR

GENDER KEY ISSUE NARRATIVES

Mission Resource Requests (MRRs), Operating Plans (OPs), and Performance Plans and Reports (PPRs) all include the same five Gender Key Issues ([click this link](#) for detailed definitions of the Key Issues). These include four linked key issues: Gender Equality/Women’s Empowerment Primary (GEWE-Primary); Gender Equality/Women’s Empowerment Secondary (GEWE-Secondary); Gender-Based Violence (GBV); Child, Early, and Forced Marriage (GBV-CEFM) and one independent key issue: Women, Peace, and Security (WPS).

Gender Equality/Women’s Empowerment Primary (GEWE-Primary): This key issue includes projects/activities in which gender equality and/or women and girls’ empowerment is the explicit or primary goal and fundamental in the design, results framework, and impact. In the PPR, the GEWE-Primary Key Issue performance narrative should include the following:

- A description of the gender gaps that were addressed by the project and/or how women/girls were empowered.
- A description of any sub-groups that were specifically engaged (e.g., women with disabilities, indigenous women, lesbian or bisexual women, adolescent girls, men and boys, etc.).
- Successes, challenges, and results achieved over the past fiscal year.

Gender Equality/Women’s Empowerment Secondary (GEWE-Secondary): This key issue encompasses activities in which gender equality and/or women and girls’ empowerment objectives, although important, are not among the principal reasons for undertaking the project/activity. To be considered in this Linked Key Issue, the GEWE component must be integrated into key parts of the project/activity, with expected gender results explicitly described. In the PPR, the GEWE – Secondary Key Issue performance narrative should include the following:

- The names of the implementing mechanism(s) generating the documented results.
- A description of the gender gaps that were addressed by the project and/or how women/girls were empowered, including any specific sub-groups that were targeted by the project/activity (e.g., women with disabilities, indigenous women, lesbian or bisexual women, adolescent girls, men and boys etc.).
- Successes, challenges, and results achieved over the past fiscal year.

Gender-Based Violence (GBV): The GBV Key Issue is an umbrella term that includes harmful threats/acts based on actual or perceived sex, gender identity or expression or adherence to social

norms around masculinity/femininity. It includes activities or programs aimed at preventing and responding to GBV (which results in harm to women or men). In the PPR, the GBV performance narrative should include the following:

- A description of the type or types of gender-based violence that were addressed by the project and the type of intervention (e.g., prevention, services for survivors, policy or protocol development, training).
- A description of sub-groups that were specifically engaged (e.g., people affected by conflict or crisis; people with disabilities; indigenous, ethnic and religious minority communities; lesbian, gay, bisexual, transgender, and/or intersex (LGBTI) people; adolescent girls and boys, etc.).
- Successes, challenges, and results achieved over the past fiscal year.

Child, Early, and Forced Marriage (GBV-CEFM): GBV-CEFM is a form of gender-based violence that impinges on a person's right to a free and consensual relationship with a marital partner. Child or early marriage is a marriage or a promise of a marriage that occurs before one of the parties reaches the age of adulthood, 18 years old. Forced marriage is defined as marriage at any age that occurs without the free and full consent of both spouses; therefore it includes child and early marriage, as children under 18 are not able to give full consent. This Key Issue was introduced in FY 2017. In the PPR, the Child, Early, and Forced Marriage (CEFM) Key Issue performance narrative should include the following:

- A description of the type of intervention (e.g. prevention, health/psycho-social/legal services for married girls, policy or protocol development, education, training).
- A description of sub-groups that were specifically engaged (e.g., married children; indigenous, ethnic and religious minority communities; specific clans or tribes; families; adolescent girls and boys, etc.).
- Successes, challenges, and results achieved over the past fiscal year.

Women, Peace, and Security (WPS): The WPS Key Issue includes activities or programs to promote women's rights, participation, and leadership in formal/informal peace processes and decision-making; protection from violence, discrimination, exploitation in conflict and humanitarian contexts; promote women's engagement in conflict prevention and mitigation and address the distinct needs of women and girls in relief and recovery efforts. In the PPR, the WPS Key Issue performance narrative should include the following:

- The names of the implementing mechanism(s) generating the documented results.
- A description of the specific sub-groups that were targeted by the project/activity (e.g., women peacebuilders, adolescent girls, elected officials, judges, religious leaders).
- Successes, challenges, and results achieved over the past fiscal year.

GENDER INDICATORS

In 2011, seven standard gender indicators were adopted, and in 2012, two new indicators were developed for WPS. In 2016, a comprehensive review of all standard indicators was carried out with the result that two of the original gender standard indicators (GNDR-3 and GNDR-7) were dropped and one new indicator was added (GNDR-8), resulting in a total of eight gender indicators (see Table 1) being included in the Master Indicator List (MIL) [see [USAID's Web pages on the OPs/PPRs](#)]. All of these are designated as required-as-applicable in the PPR. All OUs should collect data and report on one or more of the gender standard indicators if the OU's programming produces data that contribute to the measurement of these indicators.

TABLE 1: INDICATORS FOR GENDER EQUALITY, WOMEN'S EMPOWERMENT, GENDER BASED VIOLENCE, AND WOMEN, PEACE, AND SECURITY

GNDR-1	Number of legal instruments drafted, proposed or adopted with USG assistance designed to promote gender equality or non-discrimination against women or girls at the national or subnational level.
GNDR-2	Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment).
GNDR-4	Percentage of participants reporting increased agreement with the concept that males and females should have equal access to social, economic, and political resources and opportunities.
GNDR-5	Number of legal instruments drafted, proposed, or adopted with USG assistance designed to improve prevention of or response to sexual and gender-based violence at the national or subnational level.
GNDR-6	Number of people reached by a USG funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other).
GNDR-8	Number of persons trained with USG assistance to advance outcomes consistent with gender equality or female empowerment through their roles in public or private sector institutions or organizations.
GNDR-9	Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities.
GNDR-10	Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance.

In addition to the gender standard indicators, numerous other standard indicators in the MIL are explicitly gender-sensitive and may also be used to report on gender-related program results, for example, PS 9-2: *Percentage of new recruits to national police forces who are women*, DR 4-1: *Number of USG-supported activities designed to promote or strengthen the civic participation of women*, HL 9-3: *Number of pregnant women reached with nutrition interventions through USG-supported programs*, and others. Custom indicators may also be used to capture gender-related results that are project/activity-specific and that fall outside of the types of results that can be reported by using one of the F standard indicators. Before designing and reporting against a gender-sensitive custom indicator, OUs are encouraged to review the standard indicators to ensure that none of them are applicable. Finally, all people-level standard and custom performance indicators reported on in the PPR must be disaggregated by sex.

In annual PPRs, OUs must report on results achieved during the reporting fiscal year, regardless of the appropriation year of the funding that helped produce the results. Each standard indicator has a

Performance Indicator Reference Sheet (PIRS), which defines the indicator and explains how to collect data and calculate the performance measure for the indicator (see Master Indicator List on [USAID's Web pages on the OPs/PPRs](#) and the [DoS website](#)). All OUs should read the PIRs before using the gender standard indicators to ensure that the recommended measurement procedures and tools are being used and should ensure that implementing partners (IPs) understand how to properly use and report against these indicators.

Data Quality Assessments (DQAs) are required for indicators used in the PPR (see guidance on DQAs in ADS Chapter 201.3.5.8 and the [PPL How To Note on DQAs](#)). Note that if several activities are reporting against the same gender standard indicator, DQAs should be completed for each activity. A baseline and target for the indicator must be set separately for each activity. Results reported for each of these activities by IPs should then be aggregated by the OU to generate a final set of numbers to be reported in the PPR for that standard indicator (this same process applies to gender-sensitive custom indicators). Monitoring and Evaluation points of contact (M&E POCs), Contracting Officer's Representative/Agreement Officer's Representatives (CORs/AORs), and others making decisions about reporting on gender indicators should consult with the OU's Gender Advisor/POC. Gender Advisors/POCs could also join the OU team that is conducting relevant DQAs.

In FACTSInfo NextGen, gender standard indicators that were reported in the OU's previous PPR will appear in the system as "active and recommended". Gender indicators that were not reported in the OU's previous PPR will appear in the "Other Standard and Custom Indicators Available" tab. OUs may continue to report on indicators that have been marked as "archived 2016" if they are applicable and useful. If an OU chooses to use these archived indicators, they are now considered OU custom indicators because these are no longer being used for reporting in Washington.

Table 2 on the following page presents a checklist that may help OUs ensure that their gender-related reporting in the PPRs is thorough and error-free.

Additional Resources

The following resources provide more information on this topic.

1. [ADS 205.3.7: Gender Integration in Operational Plans and Performance Plans and Reports](#)
2. [ADS 201: Program Cycle Operational Policy](#)
3. [Internal PPR Guidance](#) (For USAID Staff only)
4. [Annex 3: Key Issue and Other Narratives](#)

TABLE 2: CHECKLIST FOR REPORTING ON GENDER IN PPRs

✓	If Yes...	If No...
<input type="checkbox"/>	Does the OU have a clear process in place (through the Mission Order on Gender or some other mechanism) that articulates who is responsible for reporting on gender results in the PPR?	Formulate such a plan. Consider the role of the Gender Advisor/POC and how/when she or he should be involved.
<input type="checkbox"/>	Has the OU considered which gender key issues are applicable for each IM?	Discuss all IMs. At a minimum, consider whether GE/WE-Secondary applies to all projects/activities.
<input type="checkbox"/>	Are Key Issue Narratives entered in Facts NextGen in each case where they are “applicable?”	Add missing narratives.
<input type="checkbox"/>	For all IMs that are reporting against one of the gender key issues, has the OU checked on whether it can report against related gender standard indicators?	For each IM that reports against one or more of the gender key issues, review the list of gender standard indicators to see whether any apply. If one or more does apply but the OU is not currently gathering data for that indicator, make plans to do so in future years, if feasible. Consult with IPs to ensure that they are aware of the gender standard indicators and are prepared to gather data if one or more of these indicators applies.
<input type="checkbox"/>	Has the OU used the data collection and reporting procedures and tools required in the PIRs for all gender standard indicators?	Consult the PIRs and follow the requirements.
<input type="checkbox"/>	Are all the Standard Foreign Assistance Indicators the mission reports on that count people disaggregated by sex?	If disaggregates are missing, add them. Or, provide an explanation for not being able to provide sex disaggregation in the deviation narrative. If the IP did not gather the required data, remind them that this is mandatory and they should make plans to do so in future years.
<input type="checkbox"/>	Are all custom indicators that count people disaggregated by sex?	If disaggregates are missing, add them. Or, provide an explanation for not being able to provide sex disaggregation in the deviation narrative. If the IP did not gather the required data, remind them that this is mandatory and they should make plans to do so in future years.
<input type="checkbox"/>	Are all indicator baselines that count people disaggregated by sex?	Enter the required disaggregates. If disaggregated data for baselines was not obtained it may be possible to estimate through secondary sources or past reports. If the IP did not gather the required data, remind them that this is mandatory and they should make plans to do so in future years.
<input type="checkbox"/>	Does any quantitative data (including disaggregation by sex) that is reported in the Key Issue narrative match reporting on related standard or gender-sensitive custom indicators?	Make sure that all data reporting is consistent across Key Issue narratives and indicators.
<input type="checkbox"/>	Are targets provided for all indicators (2 years in advance)?	Add targets.
<input type="checkbox"/>	Are there entries that appear to be vastly out of scale with targets or previous data?	Check for data entry error.

Annex I: Frequently Asked Questions about Gender and PPRs

1. **Since there are all-of-agency Performance Indicator Reference Sheets (PIRSs) for the gender standard indicators do I need to complete individualized PIRS for these same indicators for my mission as well?**

Yes. Foreign assistance standard indicators are pre-defined and each standard indicator has a reference sheet associated. However, the standard foreign assistance indicator reference sheet does not include all the required fields of information for USAID OUs, as defined in ADS 201maf, Performance Indicator Reference Information and PIRS Template. When standard indicators are used, all USAID required reference information must be added in the PIRS. In addition, information should be added that is specific to the local context and will aid in data collection. Mission-specific PIRSs include more detail that supports OU-specific management and tracking needs. Also, the process of adding information to the reference sheets can be helpful for getting various actors on the same page about the use of the indicator across projects (when applicable). Before starting this process, be sure to start with the Indicator Reference Sheet for any standard gender indicator you plan to use to be certain that the indicator's intended purpose, use, and other details are understood and that there is a match between the indicator requirements and the data that the OU can collect and report. Once you have done that, work with the monitoring and evaluation team or POC at your Mission to complete the USAID required fields of information in the PIRS and include additional information related to your Mission's needs and exact data collection system.

2. **Can OUs report on gender-sensitive custom indicators instead of the standard foreign assistance gender indicators?**

There are several good reasons to use gender-sensitive custom indicators, however, it is not optimal when OUs report on a custom indicator instead of a comparable standard indicator, when one already exists. The two most common reasons to use custom indicators are to provide continuity for an archived standard indicator (for example, in year-one of an activity, a standard indicator that it is used becomes archived, therefore the activity continues to use this indicator as a custom indicator) or to measure a precise theory of change. It is imperative that custom indicators are reevaluated annually against the standard indicators to maximally report results that are most usable to both the OU and USAID. It is recommended to use a standard indicator if the OU considers it sufficiently equivalent for its use.

3. **How do we apply required gender standard indicators to existing activities, especially if collecting information drives up project cost?**

The period when annual work plans are reviewed is a good time to retrofit projects/activities with at least one gender indicator. CORs/AORs, in consultation with the gender advisor and M&E expert, should work with IPs to define which gender standard foreign assistance indicators may be appropriate, or whether gender-sensitive custom indicators should be developed and what budget may be necessary to reallocate within existing activities. In many cases, the collection of gender-sensitive data does not incur any additional project costs.

4. **Three sector teams in my mission made attributions to the Gender Equality/Women's Empowerment Secondary key issue in this year's OP. We have at least 6 different IPs/activities included, each of which is collecting data. In the PPR, are we supposed to set common targets? It seems like this is mixing apples and oranges given such variance in programs.**

No, each program should set separate targets, because the activities are in different sectors and it only makes sense to set targets based on the activity's objective/purpose. However, when reporting on an indicator that is supported by multiple IPs, the partner-specific targets and results are aggregated and reported in the PPR as lump sums. The mission PIR can be a good tool to distinguish between the metrics and results that were reported for different projects.

5. Regarding GNDR-4: Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities, is there additional guidance for ensuring the validity of this indicator?

The gender indicators were chosen because they have been validated in other contexts by social scientists with expertise in this type of measurement. Reference sheets for each indicator provide detailed information on the definition, data source, reporting frequency, etc. If an OU designates one of these indicators for reporting in the PPR, they are required to complete a (DQA), which is another way of validating the indicator in a specific country context. When conducting a DQA of these indicators, you will be assessing the reliability, timeliness, quality, etc. of the data that the IP collects - not on the instrument itself. A DQA checklist is available on Learning Lab.

6. If a country is not a WPS focus country and is therefore not required to implement WPS activities, do we have to report on the WPS indicators (GNDR-9 and GNDR-10)?

If an OU has applicable activities, it must report on GNDR-9 (Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities) and/or GNDR-10 (Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance) regardless of whether it is a WPS focus country. All standard indicators are now required as applicable.

7. Our FY2017 budget has attributions to WPS but we do not have any work with security institutions nor with peace building processes. Are we still required to report on the WPS indicators (GNDR-9 and GNDR-10)?

No, OUs are only required to report on indicators that are applicable to their activities, so if these indicators don't reflect the goals of your programming, don't use them. You should, however, use any other standard indicators that are relevant for your activities. For example, women's political participation in post-conflict or transitional environments is often relevant for WPS activities, and sex-disaggregated indicators under Democracy, Human Rights, and Government (DRG) may be useful for tracking related results (e.g., DR.3.3-1: Number of individuals who received USG-assisted political party training). Other cross-cutting gender indicators may also be applicable for your WPS activities; for example, GNDR-8 can be used to capture a wide range of training efforts designed to promote gender equality or women's empowerment.

8. Can USAID operating units use WPS indicator GNDR-9, which is focused on security sector institutions and activities? I thought only DoS funded work in this area.

USAID supports a range of efforts to promote a safe and secure environment for development, including assistance to strengthen citizen security, increase democratic governance of the security sector, and build stronger linkages between security and justice institutions. Through activities such as community-based policing, training security sector officials on issues of human rights, or supporting dialogues between citizens and the security sector, USAID has an opportunity to integrate and measure WPS goals as part of its assistance. GNDR-9 can definitely be used by USAID operating units to reflect any activities that promote the participation of women in the security sector, the integration of gender perspectives, needs, and priorities in security sector initiatives, or the ability of security sector actors to address the distinct needs and priorities of males and females. For example, USAID-supported workshops for police units on appropriate methods for engaging with survivors of GBV or USAID-supported activities to engage local women in the design of community policing initiatives would count under this indicator.

9. When we aggregate results and targets across several sectors under one of the Gender Standard Indicators, how do we handle the DQA? It again seems like we are mixing apples and oranges.

The requirement to conduct a DQA applies to the indicator reported by the USAID OU, regardless of how

many IPs might collect data for the indicator. A single DQA should be comprehensive in its assessment of an OU's indicator. If multiple IPs contribute to an OU's indicator, the quality of the indicator data provided by those partners (or as many as feasible) should be examined in the process of conducting a DQA on that indicator.

10. The PPR guidance says that Data Quality Assessments (DQAs) must be completed for new indicators within 12 months before reporting on the indicator to Washington. Can a DQA be completed earlier than 12 months before the reporting deadline?

No. The PPR Guidance requires that DQAs be completed within 12 months of reporting on the indicator to Washington for the first time to ensure that sufficiently recent information has been collected to have a basis for assessing the data's reliability, timeliness, quality, etc. The DQA should be updated at least every three years for any indicators reported to Washington, but it can be updated more often if needed. A DQA checklist is available at USAID's Learning Lab. If too little data has been collected when conducting the DQA, it may be difficult to fully assess all dimensions of data quality. It is important that Missions document the result of the DQA. The results of a DQA are documented in the DQA report (which is often the completed USAID DQA Checklist) and in an update to the PIRS for that indicator (such an update includes noting any uncovered data limitations, planned mitigation efforts, and updating the date of the next DQA). The Mission defines where to store DQA reports in the Mission Order on Performance Monitoring. A DQA report should be stored along with the indicator's PIRS and any other information relevant to the indicator. The DQA report for any indicator for which data are being collected by multiple sources (often multiple IPs) should be stored in a centralized place so all parties collecting and using the indicator have easy access to the information uncovered in the DQA.

11. Who is the Washington POC for gender-sensitive indicators?

The Gender Advisor in your Regional Bureau is your first POC for questions on the Gender Standard Foreign Assistance Indicators. Regional Bureau Gender Advisors can access other resources in the Agency, including at State/F, the Senior Gender Advisor in PPL, and the Office of Gender Equality and Women's Empowerment (GenDev).

12. If all of our GBV work is funded with PEPFAR funding, should I then NOT submit a GBV narrative for the PPR?

For OUs reporting to S/GAC:

Global Health's supplemental guidance for the PPR states that indicator reporting is tied to funding. It also states that the majority of OUs that receive HIV/AIDS funding report their results directly to the Office of the U.S Global AIDS Coordinator (S/GAC) through the President's Emergency Plan for AIDS Relief Annual Performance Reports (PEPFAR APRs) – this would be the same OUs listed in annual OP guidance as completing a PEPFAR Country Operational Plan (COP). Given that S/GAC is considered the source of their HIV/AIDS funds, GBV-related results of activities supported with those funds must be reported in the APR (not the PPR) using the relevant PEPFAR indicators:

- GENDER NORMS: Number of people completing an intervention pertaining to gender norms, that meets minimum criteria
- GBV CARE: Number of people receiving post-GBV care

Other GBV-related results of HIV/AIDS activities that tie to any standard foreign assistance indicators or any OU custom indicators not reported to S/GAC would be reported in the PPR (not the APR). If the OU has achieved results from HIV/AIDS activities that relate to the GBV Key Issue, they are required to complete the GBV Key Issue narrative in the PPR regardless of the funding (COP or OP).

For OUs not reporting to S/GAC:

OUs that receive HIV/AIDS funding below \$5 million do not report to S/GAC but should report GBV-related results of HIV/AIDS activities through the PPR using the GBV standard indicators and any custom

indicators (which could include the two PEPFAR indicators cited above). They should also complete the GBV Key Issue narrative in the PPR.

13. How should I enter PPR data for a gender standard indicator if there are no results this year?

It is not uncommon for an activity that is anticipated to report on an indicator to be delayed. OUs can leave the result field blank if no target was set for the current year. If an OU has set a target for the current year, then the OU must report a result, even if it is zero, and provide an explanation in the deviation narrative field. If the indicator is a calculation, enter zero for all result fields for the indicator. For example, GNDR-4, which is a percentage, requires that both a numerator and a denominator be entered. If there are no results this year, but you have set a target, then enter zero for both the numerator and denominator results fields and provide a deviation narrative. State clearly in the deviation narrative the reason the results are zero.