2015:1 Sida Evaluation

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Evaluation of Policy Dialogue as an Instrument - the case of Gender Equality

Main report

Sida

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- the case of Gender Equality

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Foreword

Dialogue plays a vital role in development cooperation. It serves a range of purposes and is used in many ways depending on the context. But there is little knowledge of the effects of the policy dialogue, and few studies and evaluations have been performed to analyse this instrument.

The aim of this evaluation is to provide a better understanding of what constitutes successful policy dialogue on gender equality in different contexts - and to contribute to the improvement of policy dialogue as an instrument in development cooperation. The thematic focus of gender equality was chosen as it is an area where Sweden has had a long and strong commitment and where Sida explicitly uses policy dialogue to raise awareness and promote change. The evaluation covers the period of 2007-2013 and is based on three country case studies in Albania, Democratic Republic of Congo (DRC) and Guatemala.

The evaluation concludes that Sweden has frequently taken a leading role in policy dialogue on gender equality issues, and that it has also shown concrete results. One example of this is legislative reform processes to enhance gender equality in both Albania and Guatemala.

The evaluation reinforces previous experience that policy dialogue plays an important role in Swedish development cooperation, constituting an essential means to reach objectives, not least on gender equality. It stresses the importance to recognise that it takes skills and time to conduct policy dialogue. It points to the importance of recognising both the formal and informal policy dialogue as complementary to each other, as well as identifies different types of dialogue processes used depending on purpose. For dialogue to be successful, the evaluation argues that it should (amongst others):

- be timely
- ensure broad-based and meaningful participation
- be complementary to project/programme support
- be based on consistent key messages
- be supported by committed leadership

I believe that this report can contribute to continued learning and provide Sida with insights and opportunities to further develop how we work with policy dialogue.

Madeleine Hägg-Liljeström
Head of Unit for Planning, Monitoring and Evaluation (PME)
Stockholm, June 2015

Table of contents

Abbreviations and Acronyms

CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CSO	Civil Society Organisation
DEMI	Office of the Defender of Indigenous Women (Defensoría de la Mujer Indígena)
DRC	Democratic Republic of the Congo
EU	European Union
GBV	Gender-Based Violence
GE	Gender Equality
GFP	Gender Focal Point
GoDRC	Government of the DRC
GoG	Government of Guatemala
GTG	Gender Thematic Group (Groupe thématique genre)
HQ	Headquarters
IO	International Organisation
KtK	Kvinna till Kvinna (Woman to Woman) Foundation
MFA	Swedish Ministry of Foreign Affairs
NGO	Non-Governmental Organisation
NSA	Non-State Actor
RBM	Results-Based Management
SEGEPLAN	Ministry of Planning, Guatemala (Secretaría de Planificación y Programación de la Presidencia de la República de Guatemala)
SEPREM	Presidential Secretariat for Women, Guatemala (Secretaría Presidencial de la Mujer)
SGBV	Sexual and Gender-Based Violence
Sida	Swedish International Development Cooperation Agency
TOC	Theory of Change
ToR	Terms of Reference
TRAC	Sida's current contribution management system
UN	United Nations
UNDP	United Nations Development Programme
UNRISD	United Nations Research Institute for Social Development
USAID	United States Agency for International Development

Executive Summary

This report represents the collective findings of the "*Evaluation of Policy Dialogue as an instrument in Swedish Development Co-operation – the case of Gender Equality*", conducted for the Swedish International Development Co-operation Agency (Sida). The evaluation, which covers the period 2007-2013, was set up as a formative, exploratory process, as opposed to being primarily an impact evaluation. Its purpose was to gain a better understanding of what constitutes successful policy dialogue on gender equality (GE) in different contexts, and to contribute to the improvement of policy dialogue as a development co-operation instrument. Its objectives were to:

- Map and systematise different types of policy dialogue on gender equality that occur in different contexts.
- Identify strengths and weaknesses of different policy dialogue approaches and strategies, in terms of effectiveness, impact and relevance.
- Identify the enabling and constraining environments for a good policy dialogue on gender equality, including the ability and willingness of Sida's partners to plan an effective role in it.
- Determine what processes and results are the actual outcomes of a policy dialogue on gender equality, and what is "measurable".
- Identify lessons learned, and propose useful approaches for future policy dialogues to promote gender equality, and methods for follow-up.

The evaluation had a three-phase data collection and analysis process:

1. An inception phase focusing on: a) a mapping exercise that included an online survey on policy dialogue with 33 staff of Swedish embassies in 11 countries[1], plus 10 interviews with former embassy staff to cover the earlier years of the evaluation; b) a review of selected embassy/Sida documents (e.g. dialogue meeting minutes, country strategies and progress reports, dialogue plans and documents from programmes where policy dialogue was used as one means of achieving programme objectives).
2. Three two-week field missions to Albania, the Democratic Republic of the Congo (DRC), and Guatemala.
3. Analysis and synthesis of all the data collected.

The evaluation team conducted interviews with a total of 129 embassy and Sida staff, representatives of government ministries and agencies, national and international civil

[1] The 11 countries were: Albania, Bangladesh, Bosnia, Cambodia, Colombia, Democratic Republic of Congo, Ethiopia, Guatemala, Rwanda, Turkey, and Ukraine.

society organisations (CSOs), and bilateral donors and multilateral agencies, as well as selected experts and consultants.

Limitations of the evaluation included:

- Less data was available for the evaluation's earlier years (2008-2011), and the embassies involved in the evaluation had only two dialogue plans for the team's review, which meant that the related observations that could be made were only potentially illustrative in nature.
- Several actors were not available for the mission interviews, due to summer holidays or to government staff turnover in the Democratic Republic of the Congo (DRC) and in Guatemala. The Swedish Ambassadors were also out of the country during the field study periods in Guatemala and DRC.
- Some embassies provided substantial documentation, but others did not, and the documentation of policy dialogue appeared to be inconsistent across countries and within countries.
- Sida agreed during the inception process that, for the most part, the evaluation would only be able to measure the contribution Sida has made to development outcomes through policy dialogue. This is due to the nature of the process and the multiple actors involved.
- The evaluation did not extend to directly interviewing community-level beneficiaries of policy dialogue processes. In addition, research institutions, the private sector and media institutions were not interviewed unless they were actively involved in relevant policy dialogue work.

To provide an operational case study, the evaluation assessed how effective policy dialogue has been with regard to promoting GE, and used this process to extrapolate findings on the overall effectiveness of policy dialogue as an instrument of development co-operation.

UNDERLYING RATIONALE OF SWEDEN'S POLICY DIALOGUE

As there is no clear consensus on the definition of policy dialogue within a development co-operation context, the evaluation used a review of the existing literature and feedback from diverse stakeholders interviewed to develop the following definition on which to base its own analysis:

"Policy dialogue is an instrument of development co-operation that brings together two or more parties to discuss, and possibly reach consensus on, the core values underlying their policy and programming decisions, including resource allocation. It is often supported by complementary processes, such as research, to provide evidence and a rationale for reform or capacity building of national CSOs to facilitate their participation in policy dialogue."

As Sida does not have a specific theory of change (TOC), the evaluation underpinned its conceptual framework on the implicit assumptions behind the overall coherence of Swedish policy, goals and strategies. The team used this analysis to develop a TOC for policy dialogue as one element of Sida's approach to development co-operation. Based on Sida's most recent Aid Policy Framework (March 2014), with

its focus on human rights and the multi-dimensional nature of poverty, the evaluation observed that the key assumptions behind Sida's implicit TOC are:

1. Multiple approaches are needed to achieve results in a complex context.
2. Strong CSOs contribute to more relevant policy, hold governments accountable, and strengthen democracy, and citizens, through their organisations, must be able to participate in the process of developing national plans and policies that affect them.
3. It is possible for Sida to provide and support production of reliable evidence to influence policy, but also for the respective governments to be in charge of their own development.
4. Aid Effectiveness[2] provides new opportunities for effective dialogue with governments.

To this, the team added assumptions regarding what influences change related to GE, and specifically assessed how Sweden's policy dialogue has contributed to changes in power relations, gender roles and values, and women's access to resources and opportunities, as compared to men's.

Based on its initial findings, the evaluation team also framed its analysis on the premise that there are different purposes for policy dialogue that embassies use in different contexts. These include: 1) Dialogue for Policy Reform and Development; 2) Dialogue for Development Co-operation Agreements and Implementation; 3) Dialogue for Donor Co-ordination; 4) Dialogue for Advocacy Purposes. All these can take place in either formal or informal dialogue contexts, and all can be applied to GE.

EVALUATION FINDINGS AND CONCLUSIONS

The evaluation's key finding and conclusion is that, despite some flaws, policy dialogue has been an effective tool overall. Swedish embassies have been able to use it in diverse contexts to help achieve Sweden's development co-operation objectives. There is also clear evidence it has contributed to increased GE, particularly with regard to the development or revision of gender-specific laws and policies. In the countries reviewed, policy dialogue contributed to some extent to increased awareness of human rights and GE issues, changes in attitudes regarding gender values, changes in institutional gender mainstreaming processes, and increases in women's access to services or opportunities. It had the least effect in terms of governments increasing resources for GE.

To be effective, policy dialogue needs to be co-ordinated strategically with related efforts in programmes and supported by complementary processes, such as policy-related research and the strengthening of CSO participation in policy dialogue. Leadership of Ambassadors and Heads of Co-operation also makes crucial

[2] Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), and the Busan Partnership for Effective Development Co-operation (2011).

contributions to the promotion of GE through policy dialogue processes. Given the complexity and sensitivity of GE as an issue, it also requires multiple types of policy dialogue and dialogue strategies to effect change. Regardless of whether the dialogue focus is GE or another co-operation objective, it requires a long-term perspective to change. Therefore, related performance measures need to include short, intermediate and impact indicators to be able to track the effects of policy dialogue within the time frame of most country strategies.

CLUSTER 1) UNPACKING POLICY DIALOGUE

1. Definition and Types of Policy Dialogue

Stakeholders consulted share a belief that policy dialogue is based on a discussion of values, between at least two actors, which determine how donor, government and CSO resources are allocated. Thus, it is generally closely linked with financial co-operation. In DRC, where there was no bilateral co-operation agreement in place during the period evaluated policy dialogue was defined as more of an information exchange between actors on key policy or co-operation issues. Policy dialogue also can take place within a programme setting, but still requires negotiation of values and resource allocation. Some CSOs and international non-governmental organisations (international NGOs) also defined policy dialogue as being related to their specific mandates.

Concluding Statement 1: There is a fairly limited consensus on how to define policy dialogue, but Swedish embassy staff considered that, in a development co-operation context, the definition needed to include reference to negotiation between two or more parties about what their shared values are, with these values ultimately helping to determine how financial resources are allocated.

2. Definitions of Successful Policy Dialogue

A successful policy dialogue is one that has involved broad-based and meaningful participation of key stakeholders, a critical appraisal of different policy options based on the specific country context, and contributed to changes in policies and practice. In a weak state, success may need to be defined within more limited parameters, such as an information exchange, increased donor co-ordination, or laying groundwork for future co-operation. From a GE perspective, success was defined as policy dialogue that leads to actual transformational change in male/female power relations and in access to resources and opportunities.

Concluding Statement 2: Successful policy dialogue for Sida promotes the core Swedish values of open society, human rights, democracy and GE. It is also evidence-based, involves broad-based and meaningful participation of key stakeholders, and leads to concrete actions on the part of the various actors involved.

3. Formal and Informal Policy Dialogue

Embassies use both formal and informal dialogue processes regularly. Formal dialogue was particularly effective when there was a need to ensure the visibility of specific issues, and where Sida was trying to influence policy development or reform. Informal dialogue was used to follow-up on commitments made at formal meetings,

to ensure there was a common understanding of what was agreed, as well as discussion of next steps to be taken, and the need for any additional support required by those involved. Dialogue for advocacy purposes is a favoured instrument of CSO and international NGO partners, while dialogue for donor co-ordination purposes takes place in both formal and informal settings. A remaining challenge is that informal dialogue is often not recorded.

Concluding Statement 3: Both formal and informal policy dialogue serve very distinct purposes and both are needed to promote GE effectively within a dialogue context.

4. Who Embassies Engage in Policy Dialogue

Swedish embassies engage most frequently with national CSOs, other donors and multilateral organisations, and, to a somewhat lesser degree, with state actors. Sida's aim in much of its CSO dialogue work is to strengthen their capacity to put pressure on their own governments to promote core Swedish values or to reach more marginalised population groups. Engagement with other donors/multilateral organisations is part of Sida's pursuit of a harmonised approach to aid effectiveness. Both these interactions are in line with Sida's implicit TOC. The less frequent interaction with state actors in some countries may be due to there being some governments with which Sweden has chosen not to work directly. In those contexts, dialogue with other donors and national CSOs takes on an even greater importance.

Concluding statement 4: Sida's strong commitment to donor harmonisation and aid effectiveness, as well as a belief that having strong national CSOs is a critical building block for the democratic process, strongly influences with which actors Swedish embassies engage most frequently, and how.

CLUSTER 2) EFFECTIVENESS OF POLICY DIALOGUE

The conclusions under this cluster stem from an analysis of which types of strategies and approaches have contributed to successful policy dialogue results, particularly with regard to GE.

5. Effectiveness of Different Policy Dialogue Approaches to Promote Gender Equality

Swedish embassies used diverse dialogue strategies and support processes to accommodate the different contexts in which they worked. Multiple strategies were also needed to achieve GE results. The policy dialogue approaches to promote GE that were commonly found to be effective in multiple contexts included: 1) Raising GE issues in negotiations of multi-year development co-operation strategies and annual high-level dialogues with government; 2) Raising GE as a dialogue issue with stakeholders in specific sectors, programme interventions. The most effective dialogue support processes included: 1) Providing support for policy-related research to provide evidence for dialogue discussions; 2) Building the capacity of state and non-state actors to be able to advocate GE issues effectively.

Concluding statement 5: Policy dialogue to promote GE has been particularly successful where embassies have used multiple dialogue approaches and have explicitly complemented these with related dialogue support processes, particularly with regard to policy reform and development.

6. Effectiveness of Policy Dialogue as an Instrument of Development Co-operation

Swedish embassies have been able to use policy dialogue effectively to contribute to increased GE, either by working on their own or with the support of a few other donors, plus a wide range of national CSOs, while persevering with efforts to influence state actors. For GE issues, embassy leadership also contributes to dialogue effectiveness. Moreover, it is critical if dialogue objectives and underlying values are clearly defined, and if the policy dialogue is strategically co-ordinated with programme support, and vice versa. In a weaker state, such as DRC, the evaluation found that programmes were more effective at contributing to increased GE. However, dialogue processes in that context did contribute to creating a more enabling environment for future changes. Dialogue effectiveness in this situation also needed to be defined more in terms of how well information was exchanged among a broad cross-section of national and international actors than the promotion of specific dialogue positions with state actors. Policy dialogue also often falls under the category of a non-spending activity. As such, it is mainly supported through allocation of staff time. Its effectiveness, therefore, also needs to be considered from the perspective that it is not funded to the same degree as related programmes. Policy dialogue is often a slow change process, the results of which can be difficult for embassy staff to see and measure. Despite this, given the wide range of results to which policy dialogue contributed that the evaluation was able to document, the evaluation concluded that engaging in policy dialogue related to development co-operation merits the investment of staff time.

Concluding Statement 6: Policy dialogue works best as an instrument of development co-operation where there are clearly-defined policy dialogue objectives and values, consistent key messages complemented by relevant and co-ordinated programme support, and strong alliances and partners.

7. Complementarity of Policy Dialogue with other Gender Equality Promotion Approaches

The sensitive issues strongly associated with GE can often be first broached in a policy dialogue context. They can then be developed further through dialogue designed to change related policies and practices, and consolidated through complementary programmes designed to further the shared objectives of both dialogue and programme processes.

Concluding Statement 7: Policy dialogue in a development co-operation context has worked most effectively when it was explicitly and strategically paired with programme support in the same sector.

8. Enabling Factors and Constraints

Swedish embassies have more ability to influence some of the factors that enable effective policy dialogue than to influence some of the constraints that limit it. Sida's strong commitment to GE, as well as that of embassy staff, was a significant enabling factor that has helped give Sida a strong voice on issues related to its priority thematic areas. International conventions and regional agreements on GE were an external enabling factor that also served to strengthen embassy dialogue efforts. This is

because they provide a legal basis for promoting increased accountability on the part of state actors. Key constraints included cultural values that prescribe limited roles and rights for women, and limited resources being made available for GE initiatives by governments due to limited commitment to these issues. While these constraints underpin some of the reasons that Swedish embassies engage in policy dialogue on GE issues and in development co-operation in general, they remain very real constraints to the effectiveness of the policy dialogue process on this theme. Weak government capacity was also a constraint. To some extent, embassies have been able to counterbalance these constraints by providing strategic support for evidence-based policy research, and providing resources to build the capacity of CSO and government partners in GE, and of CSO partners to participate in dialogue processes.

Concluding Statement 8: Lack of political will and the existence of highly-patriarchal societies are the largest external constraints on embassy policy dialogue processes. Sida's strong promotion of, and commitment to, GE as a core principle, combined with international and regional conventions on gender, represent enabling factors that Sida and the embassies have been able to use as internal actions to help influence some of the constraints to effective dialogue on GE.

CLUSTER 3) ENSURING QUALITY OF POLICY DIALOGUE PROCESSES

9. Monitoring and Reporting on Policy Dialogue

The Swedish Ministry of Foreign Affairs (MFA) 2010 guidelines on drafting dialogue plans were quite limited. Since then, the MFA has dropped the requirement to develop dialogue plans. However, there remains a need to explicitly co-ordinate dialogue strategies with the embassies' other development co-operation actions in order to maximise their respective effectiveness. The two policy dialogue plans to which the team had access did not have a consistent approach or content, and did not include related monitoring plans. There were also relatively minimal references to policy dialogue in country progress and strategy reports. Where there were, this information generally was not specific about which dialogue approaches were used or how successful they were, and frequently did not provide related evidence.

Concluding statement 9: Limited guidance on monitoring and reporting on policy dialogue has meant that there is no consistent and systematic approach to collecting, processing and documenting related information, and assessing progress on policy dialogue objectives. Where there are no policy dialogue plans in place, there remains a need for an overall strategic mechanism to co-ordinate policy dialogue and programmes designed to achieve the same development objectives.

10. Assessing Policy Dialogue

Key challenges in measuring policy dialogue results are as follows: 1) There are multiple actors participating in dialogue processes. 2) It is expensive and often difficult to measure attitudinal change. 3) There are not a lot of existing, tested and well understood indicators and means of measurement that can be adapted to measure change in specific contexts. Most indicators also cannot measure the extent of the contributions made. Given these challenges, the evaluation found that embassy staff

were not always clear how to measure policy dialogue effectiveness. Policy dialogue is often used to complement other development co-operation instruments.

Concluding Statement 10: The measurement of policy dialogue impact is still at a rather early stage of development. It is not yet clear what are the logical or feasible short, medium and long term results of the different types of policy dialogue.

11. Capacity Issues

Policy dialogue requires highly complex skills, including effective engagement with diverse actors using different types of dialogue processes and multiple strategic approaches. Despite this, only three embassy staff have received any related training. Most have learned to conduct policy dialogue through trial and error. The limited guidance on how to engage effectively in policy dialogue has led to limited monitoring of policy dialogue results.

Concluding statement 11: The limited provision of training and other means of developing competencies and skills directly related to policy dialogue has limited the capacity of embassy staff to engage in and monitor policy dialogue effectively.

RECOMMENDATIONS

Based on the evaluation findings, the team recommends the following actions and approaches to Sida to improve its future use of policy dialogue as an instrument of development co-operation.

CLUSTER 1: UNPACKING POLICY DIALOGUE

Recommendation 1: Guidance on Policy Dialogue

Sida needs to **draft a guidance note on policy dialogue** that defines: i) what it is, within a development co-operation context; ii) what constitutes successful dialogue; iii) the different types and purposes of policy dialogue; iv) when and how they should/could be used, and with which actors; v) how and where to monitor and report on policy dialogue results.
Main implementation responsibility: Sida Headquarters (HQ)

Recommendation 2: Informal/formal Dialogue

Sida needs to work with Swedish embassy development co-operation staff to clarify and define what constitutes **informal policy dialogue**, as well as identify when it should be documented or recorded. It should also develop a means of tracking how such dialogue contributes to specific policy dialogue and programme objectives. This could be done initially through a pilot in a sample set of embassies to test out different means of tracking informal policy dialogue.
Main implementation responsibility: Sida HQ and Swedish embassies

CLUSTER 2: EFFECTIVENESS OF POLICY DIALOGUE

Recommendation 3: Policy Dialogue Approaches to Promote Gender Equality

Sida and the Swedish embassies need to **continue using multiple approaches to promote gender equality through policy dialogue**, including the use of diverse policy dialogue support processes, in line with the core GE objectives for each country (e.g. policy development or reform, increased participation of women in policy dialogue at different levels of government). These approaches should also consider creating specific budget lines to

finance dialogue partners − particularly national CSOs and women's organisations − as a means of making dialogue processes more participatory. They also need to explicitly pair policy dialogue and related programmes, to strengthen the effect of policy dialogue and programme delivery, and to help enforce new and existing policies.
Main implementation responsibility: Sida HQ and Swedish embassies

Recommendation 4: Dialogue Plans

There is a need to establish a clear mechanism to strategically co-ordinate the linkages between policy dialogue and programmes, as well as policy dialogue support processes. Should the dialogue plan requirement be reinstated, these dialogue plans need to be strengthened by developing a more standardised approach regarding content to be used globally. It should include sections on: i) explicit policy dialogue linkages with programme support and research support; ii) a monitoring plan that includes results, indicators, frequency of reporting, data sources, and that outlines who is responsible for these; iii) a related capacity development plan for development partners; iv) identification of which types of policy dialogue processes will be used in which contexts, and why.
Main implementation responsibility: Sida HQ, MFA

CLUSTER 3: ENSURING QUALITY OF POLICY DIALOGUE PROCESSES

Recommendation 5: External Capacity and Training Issues

Swedish embassies need to develop training and capacity-building measures for CSO partners − particularly women's organisations − on how to engage effectively in policy dialogue.
Main implementation responsibility: Sida HQ and Swedish embassies

Recommendation 6: Internal Capacity and Training Issues

Sida needs to develop an **institution-wide capacity building programme on policy dialogue strategies and approaches**. To ensure this reaches a wide number of staff at HQ and development co-operation staff within the embassies, part of this could be offered as online training courses. This should be complemented by a help desk, and the development of a policy dialogue equivalent of the Gender Black Box to provide easily readable and accessible resources on policy dialogue processes, key messages related to Sida's development co-operation priorities, and on how to measure/monitor progress.
Main implementation responsibility: Sida HQ

Capacity building for development co-operation staff at the embassy level is also needed. In addition to the capacity-building strategies outlined in the recommendation above, this could be done through diverse learning strategies, including: one-on-one coaching; job shadowing; training workshops on specific policy dialogue themes; staff meetings to discuss the most effective policy dialogue approaches in specific contexts.
Main implementation responsibility: Swedish embassies

Sida needs to find ways to **expand the access to gender expertise for development co-operation staff within embassies**, in order to provide technical assistance related to the policy dialogue aspects of GE promotion – such as developing key messages, and how to make the links between policy dialogue, programmes and policy dialogue support processes related to gender. This can be done through diverse means, such as the appointment of Gender Specialists within the embassies, and/or expansion of the Gender Help Desk function.
Main implementation responsibility: Sida HQ and Swedish embassies

Recommendation 7: Monitoring and Reporting

Country progress reports should include a section that explicitly covers progress on policy dialogue objectives. It can be brief, but should refer to what the specific results are, how they were measured, which inputs contributed to them, and what type of policy dialogue approach was used. Over time, this will help build a body of evidence regarding the most effective approaches to achieving results through policy dialogue.

Sida should develop **generic policy dialogue results indicators** as a tool for operative departments and embassies to assist in the development of results strategies and related monitoring plans. These would focus on results indicators for the priority thematic sectors, as well as results related to the different types and purposes of policy dialogue. These indicators would also need to cover how to measure the kinds of results possible through policy dialogue processes, and should be accompanied by guidance on how to collect the related data and how to adapt them to measure country-specific policy dialogue outputs, outcomes and impacts.

Main implementation responsibility: Sida HQ and Swedish embassies

1 Introduction

This report is a synthesis of the findings of the "*Evaluation of Policy Dialogue as an instrument in Swedish Development Cooperation – the case of Gender Equality*", conducted for the Swedish International Development Co-operation Agency (Sida). It represents an exploration of Sweden's policy dialogue processes, within a development co-operation perspective, from 2007 to 2013, and with Gender Equality (GE) as the focus. As per the evaluation questions in the Terms of Reference (ToR), the report includes a description of policy dialogue processes that Sida and Swedish embassies and their partners in development co-operation use at different levels, and analyses how different stakeholders understand them, how they function and how they are used in a development co-operation context. Additionally, it assesses how effective policy dialogue is with regard to promoting GE, as one means of determining whether policy dialogue is an effective instrument of development co-operation.

The overall purpose of the evaluation outlined in the evaluation's ToR is "*to get a better understanding of what constitutes successful policy dialogues on gender equality in different contexts and to contribute to the improvement of the policy dialogue as an instrument in development co-operation*".

The specific objectives of the evaluation outlined in the ToR are to:

- Map and systematise different types of policy dialogue on gender equality that occur in different contexts − including the complex dynamics of policy dialogue processes, actors involved, political and administrative levels, relation to other aid modalities, and other aspects that may be considered relevant.
- Identify strengths and weaknesses of different policy dialogue approaches and strategies in terms of effectiveness, impact and relevance.
- Identify the enabling and the constraining environments for a good policy dialogue on GE, including the ability and willingness of Sida's partners to plan an effective role in it.
- Identify lessons learned, and propose useful approaches for future policy dialogues to promote gender equality and methods for follow-up.
- Determine what kind of processes and results are the actual outcomes of a policy dialogue on gender equality (defined in various ways), and what is "measurable".

The report does this by drawing upon data from a combination of a mapping survey with staff from 11 embassies, interviews with embassy staff, three field-based country case studies, and an extensive document review. As such, while the number of embassies and interviewees is somewhat limited, this is an illustrative evaluation. There is, however, sufficient evidence of common patterns on some themes and issues to serve as a learning tool for the use of policy dialogue as an instrument of development co-operation, particularly from a GE perspective.

2 Methodology Used and Limitations

2.1 APPROACH AND METHODOLOGY

The evaluation was conducted in three phases:

- Phase 1: Inception phase and mapping of policy dialogue in 11 countries.
- Phase 2: Data collection in the three selected in-depth case study countries.
- Phase 3: Analysis and synthesis of the data collected from all sources.

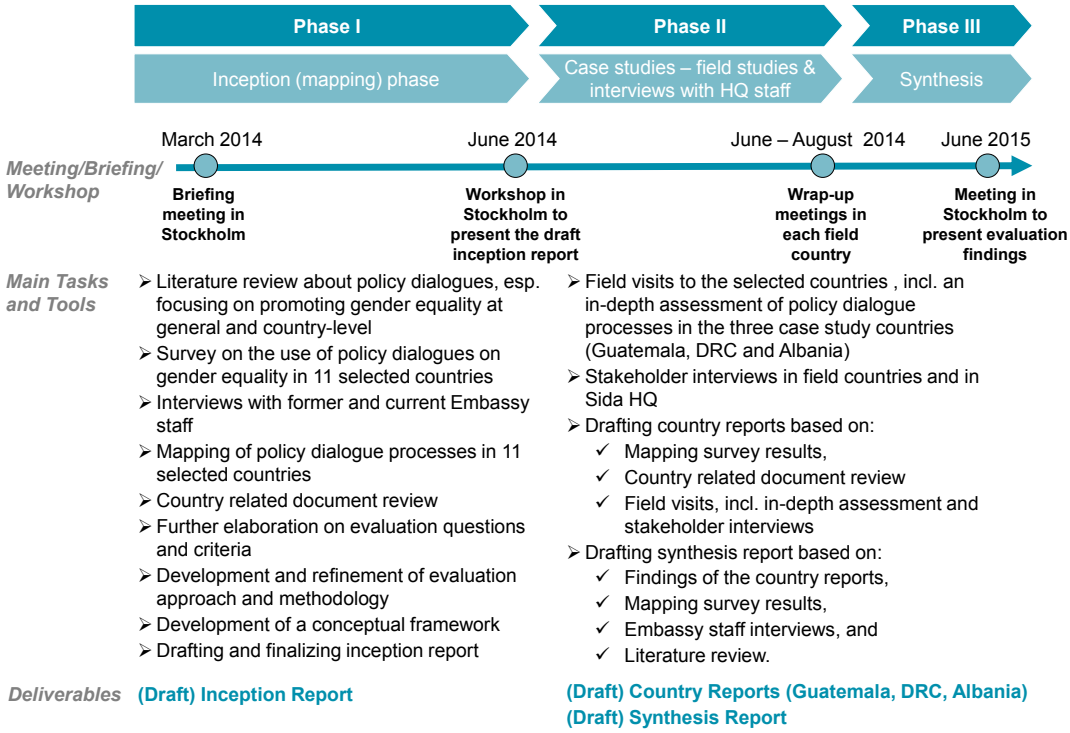
As illustrated in Figure 1 and described below, diverse tools and methods were used for collecting, processing and analysing data during the various phases of the evaluation.

1. Conducting a Literature and Document Review on policy dialogue in general, as well as specific policy dialogue-related documents from 11 embassies that Sweden selected to take part in the evaluation. The documents provided by the embassies included minutes from policy dialogue and programme implementation; programme documents from key sectors of development co-operation in the countries concerned; country strategy reports; country dialogue plans (where available); country progress reports; and any other relevant documentation available.

2. An online Mapping Survey was sent to 11 embassies, accompanied by key stakeholder interviews with a small number of former gender focal points (GFPs) or embassy staff, using a semi-structured interview guide. The survey focused on collecting data to address the informational questions that made up the bulk of the evaluation questions outlined in the ToR (see Annex 8 for a presentation of the detailed results of the survey).

The embassies Sida selected to participate in the evaluation were: Albania, Bangladesh, Bosnia, Cambodia, Colombia, the Democratic Republic of the Congo (DRC), Ethiopia, Guatemala, Rwanda, Turkey, and Ukraine. Sida's selection was based on a mix of economic levels and development co-operation contexts, as well as an indication of the inclusion of GE in policy dialogue processes in the related country strategies. The survey process asked embassy staff to meet to discuss the survey questions and then to provide one collective answer, based on a consensus, while still providing room for additional comments. Nine of the embassies followed this process, and two (Bosnia Herzegovina and Ukraine) relied on the response of just one staff member. Overall, 32 people participated in the collective survey discussion process.

Figure 1 Overall Evaluation Design and Process



3. Interviews with Embassy Staff: The team held interviews with 10 current and former embassy staff from all of the embassies that participated in the mapping survey, except for the embassies from the three case study countries. The staff interviewed were either embassy gender focal points or the development co-operation officers responsible for GE. Additional interviews were held with another 17 embassy staff as a part of the country case studies.

4. Mapping Reports: Based on the mapping survey data, document review and the embassy interviews, the evaluation team drafted reports that summarised the policy dialogue processes described through these diverse data collection methods. These preliminary mapping reports were intended to serve as a general mapping of the embassies' policy dialogue processes within a development co-operation context for informational purposes, as opposed to being predominantly analytical reports. The reports also provided a source of quantitative data on policy dialogue for the evaluation process.

5. In-depth Country Case Studies were conducted in Albania, DRC and Guatemala. Each mission was two weeks in length. The team used this time to collect additional relevant documents to review and conduct key informant interviews with development co-operation staff from the respective Swedish embassy, civil society and government partners, media actors, other donors and multilateral organisations. National consultants also provided technical support and context for the evaluation team in each case study country. The DRC case study mission was held in late June 2014, the Albanian mission was held in June/August 2014, and the Guatemalan mission was held in August 2014.

6. Interviews with Sida Staff in HQ: Each team member also interviewed relevant personnel connected to their specific country case study in Stockholm, using semi-structured interview guides based on the evaluation matrix.

Through the country case studies and the mapping survey interviews, a total of 129 people were interviewed. A summary of the people interviewed in each stakeholder category is outlined below.

Table 1: Key Informant Interviews

Type of Informant	# Interviewed	Interview Location
Swedish embassy staff (current and former)	27	Case Study Countries
Sida and MFA staff	9	Stockholm
Government officials (current and former)	17	Case Study Countries
CSO representatives	24	Case Study Countries
International NGO representatives	18	Case Study Countries and international
Multilateral agencies and actors	21	Case Study Countries and via Skype
Representatives of bilateral co-operation agencies and donors	8	Case Study Countries
Individuals and consultants	3	Tirana and Stockholm
Media staff	2	Guatemala City
Total	**129**	

The evaluation used the data collected from the various sources cited above as the basis for this synthesis report, and indicates the specific data sources used to reach the findings and conclusions outlined under each section. The evaluation used a **mixed-methods approach** to data and information collection for this synthesis report. The different **data collection methods** (as further detailed above) were used to gather sufficient and appropriate evidence to allow for meaningful lessons learned, conclusions, and recommendations to Sida.

Data triangulation and synthesis was ensured by the simultaneous application of various methods and tools in the evaluation process to generate both quantitative (e.g. through the mapping-survey) and qualitative data (emanating from, for example, in-depth interviews in the field phase, review of documentation and literature, mapping-survey) Furthermore, the evaluation team addressed data triangulation and synthesis of findings through the following:

- Each evaluation question was "unpacked" (through research areas, judgement criteria and indicators) analysing if there were sufficient common patterns to draw conclusions or a need to present illustrative examples of critical issues.
- Application of similar tools applied by all team members during all phases, which enhanced comparability across the fields − e.g. common template for the mapping reports, making use of semi-structured interview guides.
- Holding regular meetings with all team members (phone, Skype, screen-sharing, face-to-face) in order to exchange information and documents, discuss methodological issues, and tune them into the application of similar methods enhancing comparability, so that the team could absorb and integrate the findings from each previous step.
- Sharing of reports, interviews, key documents and draft reports. (A restricted platform was setup for this purpose on Particip's website.)

2.2 LIMITATIONS OF THE EVALUATION

Limitations of the evaluation can be classified in the following three categories:

- Limitations grounded in the framing of the exercise;
- Defined limitations outlined in the TOR;
- Limitations emerging from practical problems.

1) Limitations grounded in the framing of the exercise

- **Absence of a Working Definition of Policy Dialogue:** The evaluation presented an evaluation matrix and analytical framework as a part of the inception report, which was approved by Sida at that time. As a part of this, while the evaluation ToR had suggested a need to define policy dialogue, Sida advised the team during the inception process not to define policy dialogue, but rather to find out how Sida and embassy staff defined it. Following the second draft of the evaluation reports, Sida requested instead that the team develop their own definition of policy dialogue and revise their analysis so that it would be based on this definition. This shift in instructions after the completion of the data collection period led to the evaluation becoming an iterative process. Thus, the team revised its analytical framework to be based on its definition of policy dialogue and Sida's implicit Theory of Change related to development co-operation. While this shift in approach sharpened the overall analysis, the change from the approach approved in the inception report also represented a limitation. This was because it changed some of the evaluation's categories of analysis after the data collection process had already been completed. Greater clarity and consistency of instructions about defining policy dialogue could potentially have changed what data was collected in some categories.
- **Contribution:** The ToR noted that, for the most part, the evaluation would only be able to measure the contribution Sida has made to development outcomes through policy dialogue, due to the nature of the process and the multiple actors involved. This is in contrast to being able to directly attribute specific results to policy dialogue inputs. The evaluation also found it was generally not possible to measure the extent of Swedish embassies' contributions to the results of policy dialogue, and most references to the extent of contribution in this report have had to remain fairly general in nature.
- **Indicators:** There are no well-established or tested indicators to measure the results of policy dialogue. The evaluation developed indicators to address this issue as a part of the response to the evaluation questions, and tested these out as a part of the evaluation process. This served as a limitation in that it only became clear whether or not the indicators selected were appropriate by actually applying them. For the most part, this was only a minor limitation, and most of the indicators developed stood. The other challenge lay in measuring changes in attitudes to which Swedish policy dialogue has contributed. Changes in attitudes and values are usually at the core of achieving positive results related to GE. However, it is expensive to measure this type of change accurately as it requires extensive perception surveys. This evaluation has, therefore, focused more on

tracking changes in practices and policies, as these can be indicators of changes in attitudes.

2) Limitations outlined in the ToR

- **Country Study Selection:** The selection of the embassies to participate in the evaluation and the case study countries was made by Sida, with one change for the latter made upon recommendation of the evaluation team. The selection was based on those embassies whose documentation reflected a visible degree of attention to GE, particularly within a policy dialogue context. This may have introduced an element of bias with regard to the effectiveness of policy dialogue as a tool to promote GE.
- The three country case studies selected reflect **highly different contexts**. For some of the evaluation themes, there were commonalities in all three countries. For others, the evaluation findings were quite different for each country. Consequently, some of the evaluation findings are country-specific (and are noted as such) while others − where there was additional data from the mapping surveys that confirmed the field mission findings − can stand as more generalised findings that are potentially applicable to the various development contexts in which Sida operates.
- **Period of Coverage:** More data was available for the latter half of the period evaluated (2010-2013). Only a few embassies maintain electronic data that covered the earlier years of the period evaluated, and so were only able to share documents from the most recent years. Coverage provided by key informant interviews were also dependent upon how long the person interviewed had been in a specific position. Consequently, corporate memory was sometimes restricted to their tenure, or to what the evaluation team could glean from earlier country reports. The team was able to interview former embassy staff to fill in some of these gaps in coverage to some degree, but there was still significantly more data from the latter years of the period evaluated.

3) Limitations emerging from practical problems

- **Availability of Personnel:** In Guatemala, it was not possible to obtain interviews with as many government institutions as initially hoped, due to limited availability of interviewees or personnel having changed positions. This meant there was no input from two key institutions with which the embassy has engaged in dialogue processes related to GE. The current Swedish Ambassadors were also out of the country during the field study periods in Guatemala and DRC, and so not available to provide their overview of the embassies' policy dialogue processes and effectiveness. Embassy staff were also mainly available only from the most recent years in each country. This also limited the amount of data available for the earlier years covered.
- **Availability of Documentation:** While some embassies provided substantial documentation, others did not. The team found that there was not a consistent way of recording policy dialogue across all embassies. Information on policy dialogue is also sometimes scattered throughout general programme and project documents, as opposed to in separate documents. Thus, it was not always clear

where one could find policy dialogue documentation, and the documentation was not always comparable. This led to the team's information requests being quite broad, and consequently, in some cases, not very precise. This made the requests rather overwhelming for some embassies, which resulted in some embassies not providing much documentation related to policy dialogue. In the case of one embassy, no documentation was provided, so the evaluation therefore had to rely on relevant documentation provided by Sida HQ and the results of the survey.

- **Methodological concerns and online survey:** Two embassies indicated that they found a couple of the questions in the online survey difficult to fill out. In DRC, some of the survey's complexity or lack of clarity in instructions led to an error in one of the ranking questions. It was possible to correct this during the field mission. The challenges regarding the survey were overcome in general as the evaluation provided clarifications on the surveys as needed and requested, and by following up with one embassy where it was evident that there was a misunderstanding about how to fill out the ranking question.

2.3 UNDERLYING RATIONALE FOR SWEDISH POLICY DIALOGUE

In the absence of a clear definition of policy dialogue, the evaluation assessed policy dialogue as one part of the multi-faceted approach Sida takes to development co-operation, and assessed its effectiveness relative to other development co-operation instruments − particularly with regard to GE. While Sida does not have an articulated theory of change (TOC) guiding its overall development co-operation support, there is an implicit TOC underlying its approach, which can also be applied to its approach to policy dialogue. The Swedish government's most recent Aid Framework[3] set out its new policy approach, beginning with an analysis of the role of international co-operation in the globalised world.

"Sweden's aid is based on human rights and must be guided by a multidimensional view of poverty that takes as its starting point the perspective… of people living in poverty themselves, and a rights perspective. Respect for human rights and for the right to live a free life is crucial to achieving socially, economically and environmentally sustainable development. The Government further sets out three starting points for the design and direction of aid: Swedish aid must have a clear focus, it must go hand in hand with active policy coherence for equitable and sustainable global development, and it must be characterised by a perspective that looks beyond the aid itself."

This policy makes it clear that although the individual and her/his rights are the starting point and focus of Swedish aid, interventions to achieve this may take place at various levels, depending *"on the results sought and how these can best be*

[3] Ministry of Foreign Affairs. 2013/14. Aid policy framework – the direction of Swedish aid Sida aid framework, Government Communication 2013/14:131. p. 6.

attained".[4] Through Aid Effectiveness, bilateral aid was supposed to be increasingly directed towards programme funding, sector-wide approaches or budget support. These all provide an increased need, and greater opportunity, for policy dialogue, which Sida sees as an opportunity to influence broader development issues, including human rights and GE. To develop broad national development plans, Sida also emphasises the importance of supporting civil society as an actor in its own right, and to create opportunities for organisations and channels in which people and groups – especially the marginalised and oppressed – can be heard.[5] The TOC implicit in Sida's overall development co-operation strategy is, therefore, based on the following beliefs about which interventions, strategies and activities will bring about long-term changes, and the related underlying assumptions.

1. Multiple approaches are needed to achieve results in a complex context.
2. Strong CSOs contribute to more relevant policy, hold governments accountable, and strengthen democracy. Through their organisations, citizens must be able to participate in developing national plans/policies that affect them. To participate fully, they may need: improved capacity to engage in dialogue; opportunity to implement and demonstrate alternative models; ensured protection from systemic violence or backlash; increased access to dialogue processes and structures.
3. It is possible for Sida to provide and support production of reliable evidence to influence policy, while the respective governments are in charge of their own development.[6]
4. Aid Effectiveness[7] provides opportunities for effective dialogue with governments, as well as for strengthening participation of civil society in national development.
5. The Harmonisation and Co-ordination processes associated with Aid Effectiveness also provide increased need and opportunities for policy dialogue with other donors to discuss any variance in values and priorities.

From a GE perspective, while the same basic assumptions apply to Sida's overall approach to policy dialogue, it is also necessary to analyse the primary factors that specifically contribute to changes in GE. The evaluation team posits that, for GE, the key assumption is that policy dialogue within a development co-operation context can and will contribute to changes in:

1. Power relations based on gender roles, values, and access to opportunities and resources.
2. Underlying societal values related to gender equality.

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[4] Ministry of Foreign Affairs. Op. cit. p 48.

[5] Ibid. p. 49.

[6] This evidence may come from either existing studies or other areas of development programming, such as Sida-funded research/studies, knowledge generation, pilot projects, evaluations, or support to existing groups with direct knowledge and experience.

[7] Paris Declaration on Aid Effectiveness (2005), the Accra Agenda for Action (2008), and the Busan Partnership for Effective Development Co-operation (2011).

Policy dialogue is thus a vehicle for change with regard to GE. It can be used to: raise awareness about women's rights; advocate increased equality within a policy development and reform context; be used to help hold national governments accountable for national, regional and international commitments; and foster donor co-ordination/support for strategic dialogues and initiatives related to GE.

The evaluation, therefore, also assessed – as thoroughly as was possible – the extent to which the different assumptions implicit in Sida's TOC related to development co-operation are valid when viewed from the perspective of policy dialogue and GE. It also did this based on Sida's own policy premise that achieving GE requires a combination of gender-specific approaches that focus exclusively on promoting GE and ones in which GE is integrated into a dialogue or programme whose primary aim is some other aspect of development co-operation.

The evaluation used this TOC to frame its overall analysis regarding the effectiveness of policy dialogue, and in terms of policy dialogue related to GE. It did this by assessing in what ways and to what extent the different policy dialogue processes reviewed appear to be guided by these underlying assumptions related to change, and to which kinds of GE-related changes it contributed.

2.4 DEFINITION OF POLICY DIALOGUE AND GENDER EQUALITY

In the literature review conducted as a part of the inception process, the evaluation found multiple definitions of policy dialogue. The table below summarises the main thinking in this regard.

Table 2: Common Definitions of Policy Dialogue

Common Definitions of Policy Dialogue	
1.	Policy dialogue between donors and recipient governments is a negotiation over the allocation of values that is likely to result in new policies or modification and implementation of existing ones, with the allocation of resources guided by those values.[8]
2.	Policy dialogue is a way of working with partner countries to explore and implement policies that accelerate sustainable and equitable growth, improve the allocation of the entire budget, and enable a broad cross-section of stakeholders to engage in policymaking.[9]
3.	Policy dialogue is a mechanism to incorporate the interchange of ideas and information whereby either viewpoints or both can change to bridge the initial differences between the two.[10]
4.	Policy dialogue is an interaction whereby interests and preferences of actors are shaped by the economic, political, institutional and ideological contexts in which the actors and the negotiations find themselves.[11]
5.	Policy dialogue is a strategic game influenced by the rational choices of the actors.[12]

[8] Brusset, Emery(2008): Evaluability Assessment. Bangura Yusuf (1997): The concept of Policy Dialogue and Gendered Development: Understanding its Institutional and Ideological Constraints, UNRISD.

[9] AUSAID (2010): ODE Annual Review of Development Effectiveness 2009. Canberra: AusAID..

[10] USAID (1982): A.I.D. Policy Paper, Approaches to the Policy Dialogue.

[11] AUSAID. Op. cit.

This range of definitions indicates that there is not yet a consensus on what policy dialogue is. The definition also shifts somewhat depending upon the purpose for which the dialogue is used. In the mapping survey, the evaluation asked Swedish embassy staff how they would define policy dialogue within the context of development co-operation, using these five core definitions as a base.

Based on this review, and on feedback from the mapping survey and related interviews with embassy staff in the 11 countries, the evaluation developed the following definition to guide and inform its analysis:

"Policy dialogue is an instrument of development co-operation that brings together two or more parties to discuss and try to reach consensus on the core values underlying their policy and programming decisions, including resource allocation. It is often supported by complementary processes, such as research to provide evidence and a rationale for reform, or capacity-building of national CSOs to facilitate their participation in policy dialogue."

The evaluation also has defined the *two generic types of dialogue* encountered in all Sida and embassy dialogue processes − that of *formal* and *informal* dialogue:

Table 3: Definition of Formal and Informal Policy Dialogue

Type of Policy Processes	Definition	Where used
Formal policy dialogue	Any official meeting between two or more parties for which there is a previously established agenda, and for which the discussion points agreed are documented formally in meeting minutes.	Meetings held between: • The Swedish embassy and government ministries or institutions at national or sub-national levels. • With other Heads of Co-operation. • With multilateral organisations. • Between the Swedish embassy and individual international NGOs or national CSOs. • Between Ambassadors.
Informal policy dialogue	Can refer to any awareness-raising events at which dialogue issues are dis-cussed, but where no official policy posi-tions are taken or recorded − e.g. a lunch or other type of more informal meeting in which two or more parties can discuss diverse policy issues.	Meetings between Swedish embassy personnel and any of the actors listed above.

Through the evaluation process, the team also found that, across all countries studied, there are different *types of policy dialogue processes*, depending on the different

[12] ibid.

purposes of the dialogue. These are outlined below, and also provide a basis for the evaluation's subsequent analysis.

Table 4: Types of Policy Dialogue Processes

Type of Policy Processes	Definition	Actors
Dialogue for policy reform and development	Dialogue in which the parties engaged are working to develop a consensus or progress towards the development of new policies in sectors or on themes of mutual interest, or to reform existing policies.	This is generally policy dia-logue held between the Swe-dish embassy and diverse government actors, but is not exclusive to the public sector.
Dialogue for development co-operation agreements and implementation	Refers to discussions between one or more parties in which at least one party is a donor and one a recipient organisation. It focuses on establishing key principles in common related to a particular sector and/or intervention, and maps the way forward to develop initiatives for the actors involved, with clear roles and commitments established for each one.	Between Swedish embassy and a recipient organisation.
Dialogue for donor co-ordination	Generally held in a formal context and on a regular basis, with the timing agreed by the different donors involved. These processes have set agendas, and the discussions are documented officially and shared with group members. They take place for the purposes of exchanging information regarding which donor is supporting what type of development co-operation in a country, and for sharing national or institutional official positions on what should or should not be funded or supported. Such dialogue can also be used to work out areas for joint support or programming, or ways to avoid duplicating each other's efforts. It can also serve to develop a joint position on specific issues to strengthen the donors' positions when engaged in policy dialogue advocacy with government partners.	It may take place at very senior levels, such as meetings between groups of Ambassadors representing bilateral development co-operation agencies or the Heads of Co-operation for the embassies/donors concerned. It can also take place within the context of sector theme groups, such as a gender theme group.
Dialogue for advocacy purposes	While all policy dialogue involves some degree of advocacy, some dialogue takes place primarily for those involved to state their positions to try to influence positions of the other actors engaged. It is not considered dialogue if the action taken is the uni-directional delivery of a key message, such as a communiqué or advocacy campaign. To be dialogue for advocacy purposes, at least two parties have to be involved, and both parties have to have the opportunity to present their positions and values. Dialogue for advocacy purposes is used mainly to create awareness, with the aim of changing or influencing the thinking and beliefs of the other actors involved. This type of dialogue is also sometimes used to help lay the foundation for future policy dialogue that could potentially be funded or supported through development co-operation.	Civil society organisations, international non-governmental organisations, bilateral development co-operation agencies and multilateral institutions are more likely to take part in this type of policy dialogue and to use this form of policy dialogue when trying to influence national and sub-national state actors.

It is also important to frame this evaluation within the context of Sida's definition of GE.

"Gender equality is achieved when women and men, and girls and boys, have equal rights, life prospects and opportunities, and the power to shape their own lives and contribute to society. Equality between the sexes is a question of a fair and equitable distribution of power, influence and resources in everyday life and in

society as a whole. A gender-equal society safeguards and makes use of every individual's experiences, skills and competence."[13]

In its assessment of the effectiveness of policy dialogue as an instrument of development co-operation, the evaluation used this definition as one of the underlying premises to help shape the results indicators in the evaluation matrix – for example, assessing whether policy dialogue had specifically contributed to changes in women's and men's access to rights or resources.

[13] Sida (2010): On Equal Footing: Policy for Gender Equality and the Rights and Role of Women in Sida's Development Co-operation 2010-2015. Cited in: Sida (2013): Tool for Integrating Women's Economic Empowerment in M4P Approaches. p. 1.

3 Key Findings

The key findings are based on a combination of the mapping survey results, interviews with staff from the embassies that participated in the evaluation and a wide range of actors in the three country case studies, and a review of literature on policy dialogue and country-specific strategies, reports, dialogue meeting minutes and programme documentation.

The key findings provide feedback and an analysis of what the evaluation found with relation to specific aspects of policy dialogue. In keeping with the ToR, several categories of analysis address policy dialogue in general. Others are related specifically to GE. In particular, the team extrapolated its findings related to the effectiveness of policy dialogue as an instrument of development co-operation, based on how effective it was in terms of promoting increased GE.

To this end, the content of the findings section has been divided up as follows:

- Section 3.1 – Examines what policy dialogue is, and how successful policy dialogue is defined, both in general and from a gender equality perspective.
- Section 3.2 – Examines diverse embassy staff roles in policy dialogue, with a focus on how these roles support the promotion of gender equality through policy dialogue processes.
- Section 3.3 – Analyses who the embassies engage in policy dialogue, and for what purpose. It also examines where policy dialogue takes place, and for what purposes.
- Section 3.4 – Assesses the environment in which policy dialogue takes place and how power relations affect dialogue processes, including the use of conditionality with regard to GE, and the links between country context and the approaches used to promote GE through dialogue.
- Section 3.5 – Includes a general review of policy dialogue plans and reporting tools, as well as focuses on an analysis of which policy dialogue and policy dialogue support approaches/strategies have worked best from a gender equality perspective.
- Section 3.6 – Specifically assesses the effectiveness of policy dialogue as a tool to promote gender equality, and the types of results to which Swedish policy dialogue in a development co-operation context has contributed.
- Section 3.7 – Examines complementarity between policy dialogue and other approaches to promote gender equality.
- Section 3.8 – Looks at internal and external factors that affect the promotion of gender equality through policy dialogue.

3.1 WHAT IS POLICY DIALOGUE AND WHEN IS IT SUCCESSFUL?

Definition and Purpose of Policy Dialogue

Key Finding #1: There was a limited consensus among Swedish embassy staff, development partners and in the literature regarding how to define policy dialogue within a development co-operation context.

Based on common definitions identified through the literature review, through the mapping survey and through country case study interviews, the evaluation asked embassy staff to select the dialogue definition they considered closest to their own understanding. The closest to a consensus on the definition came from staff from four of 11 embassies who participated in the survey. They indicated that:

"Policy dialogue between donors and recipient government and other actors is a negotiation over the allocation of values that is likely to result in new policies or modification and implementation of existing ones, with the allocation of resources guided by those values."[14]

In general, embassy staff opinions were highly diverse and no clear definition emerged. In Guatemala, embassy staff noted that, for them, policy dialogue was intrinsically linked with financial co-operation. Without financial co-operation, they felt there would be no policy dialogue. This is in line with the phrase in the definition above − that the values agreed through policy dialogue guide resource allocation.

Policy dialogue was also perceived to be a process *"between two or more parties where you have a value-based priority and where you want to move ahead in terms of these values and achieve changes in relation to them"*.[15] This summation by a Sida HQ staff member was illustrative of the general opinions the team found in all three country case studies.

Other perspectives on policy dialogue included that for three embassies it is *"a way of working to implement policies for sustainable and equitable growth or equally a mechanism to incorporate information and ideas and bridge points of view*". None of the respondents considered policy dialogue to be a strategic game. However, more in-depth discussions with embassy staff in DRC during the field mission did find that the staff there considered policy dialogue to be a strategic game in that specific context. In DRC, as there is not yet a formal bilateral co-operation agreement in place and there is a fairly weak state, the purpose of policy dialogue has been more for information exchange and to help lay the foundation to develop a future bilateral co-operation agreement policy dialogue. This, in turn, has influenced embassy staff's context-specific definition of policy dialogue. Further research would be needed to

[14] From survey question No. 7.

[15] Quote from interview with Sida HQ staff. June 2014.

determine if this same pattern holds true in other countries that are also operating without a formal co-operation agreement. In addition, unlike in Albania and Guatemala, embassy staff in DRC thought that policy dialogue could sometimes be *uni-directional, such as in the use of new and old media to communicate a policy position.* This is despite the fact that dialogue, by its very nature, has to include two or more actors.

Where the evaluation did find consensus was with regard to the core Swedish values that underpin Sweden's development co-operation policy – that is, human rights, democracy, open society, and gender equality. These are stated clearly and consistently within all the dialogue processes reviewed through the mapping survey, country case studies and document review. Sweden is known to uphold and support these values throughout its development co-operation programming. Other actors that engage with Sida and the Swedish embassies indicated that they were highly aware of these values when entering into any related policy dialogue process. Therefore, although there was only a limited consensus about how to define policy dialogue, there was a very clear idea of what Swedish policy dialogue in a development co-operation context is promoting. This, in turn, serves as one factor that contributes to the effectiveness of Sweden's policy dialogue related to development co-operation.

In Albania, how policy dialogue was perceived was also influenced by Albania's commitment to the EU accession process. The underlying values related to EU accession, therefore, very much influence which dialogue issues are discussed, including EU human rights and GE requirements. The mapping survey results also showed a similar influence in Bosnia Herzegovina and in Turkey, since both countries are also heavily involved in the EU accession processes.

Policy Dialogue Definitions by Other Actors

Key Finding #2: In the three case study countries, the other actors with whom Sida engages generally shared a common view that policy dialogue is a value-based negotiation process used to help allocate resources and promote their specific objectives.[16]

The other actors with whom Sida and Swedish embassies engage include: different levels of government; other donors; multilateral agencies; CSOs and international NGOs. There was general agreement among them on what policy dialogue was. Sida commonly works closely with CSOs and international NGOs to support policy dialogue processes through the Swedish embassies, often as a means of reaching more marginalised populations. Approximately half of the CSOs and international NGOs interviewed focused their definitions of policy dialogue on the specific values they espoused − such as citizen participation in public administration, sensitising

[16] Other actors outside of embassy staff were only interviewed in the three country case studies, as the mapping survey was limited to documenting and analysing the opinions and views of Swedish embassy staff.

local authorities to human rights, women's rights, and gender-based violence (GBV). The CSOs and international NGOs saw policy dialogue as a two-way exchange of values and co-operation. They also thought that it had value as a change process in and of itself, even if the dialogue would not lead to financial support for specific policies or related interventions. This latter perspective essentially views policy as a form of advocacy and means of modelling the core values to which these CSOs/international NGOs subscribe. For the CSOs/international NGOs interviewed, the way in which policy dialogue was conducted also shaped its definition, as did a strong commitment to the core value of policy dialogue needing to be participatory in nature.

Government actors in the three country case studies generally linked their definitions directly and narrowly to specific policy dialogue processes, ranging from the statement that "*policy dialogue is about consultations with donors including in the context of the development of new policies and laws"* in Albania to *"all actions that help maintain a relationship with the Swedish embassy"* in Guatemala. This latter viewpoint highlights the strong connection between value-based negotiation and resource allocation observed by embassy staff in Guatemala. The evaluation found this to be the primary difference between policy dialogue in general and dialogue that takes place within a development co-operation context. Other donors and multilateral agencies interviewed offered a fairly similar perspective to that of government officials, but with a stronger emphasis on relationships with governments, less on process, and a clear correlation with financial co-operation.

Definitions Summary: For all these actors, policy dialogue is a means to an end. How they define it is based on the ultimate goal: for Sweden, it is the linking of the promotion of Swedish core values with development co-operation; for CSOs, it focuses on citizenship and rights; for partner governments, it is on the negotiation of development co-operation; and for the other donors and multilateral organisations, it is the creation of policies that lead to a stronger state to serve its citizens more effectively and to reduce poverty.

Key Finding #3: There was, however, some confusion about the distinction between policy dialogue and advocacy on the part of some actors, particularly CSOs.

The evaluation found this confusion in all three country case studies. For example, some in Albania stated that policy dialogue is not limited to what is going on in meetings, but also includes more long-term uni-directional advocacy and lobbying. In Guatemala, this confusion was predominant among CSO actors, and several included uni-directional advocacy campaigns as being a form of policy dialogue. A UN agency in DRC clarified the difference between the two processes, stating that the distinction is that "*policy dialogue assumes solutions will be proposed, and advocacy does not"*. If we revisit the evaluation's definition of policy dialogue, it clearly states that policy dialogue has to be a process that involves negotiations, discussions or exchanges of information between at least two actors. Thus, the uni-directional delivery of a key message or an advocacy campaign that can be used to support policy dialogue positioning is not policy dialogue. Instead, these actions can be considered to be forms of policy dialogue support.

Key Finding #4: Within a policy dialogue context, embassy staff tend to define gender equality mainly as referring to dialogue that promotes gender-specific policies, as opposed to a theme that is integrated into all dialogue sectors.

This was the viewpoint of most actors interviewed for the country case studies, and also by embassy staff surveyed. In the country case studies, however, where a more in-depth analysis was possible, the team did find a few examples of the integration of gender into other thematic sectors – for example, in the fiscal policy reform sector in Guatemala, and in the forestry sector and property rights reform in Albania. In DRC, the focus for many was to ensure that women were represented within policy dialogue processes. This is particularly critical within a conflict context, where women are often under-represented and frequently experience highly gender-specific challenges and vulnerabilities associated with conflict.

Key Finding #5: Most case study stakeholders defined successful dialogue as leading to increased understanding among the actors involved, the promotion and acceptance of values on which they can agree, an agreed plan of action, and development co-operation support.

For all but advocacy-based dialogue, financial support through development co-operation was one of the important criteria for defining success. Other indicators of successful dialogue were that it:

- Leads to a more efficient allocation of budgetary resources, and improves aid effectiveness.
- Generates broader and more active public participation in policy-making inclusive of all actors, and reflects the concerns and interests of these different actors in the final policy document.
- Is evidence-based and backed up by studies and research identifying and analysing the specific issues the policy seeks to address.
- Has a direct impact on government policy.
- Is a process that offers something to both sides.

Success was also defined in terms of results at two levels: 1) achieving changes in national laws and regulations or agreements that contribute to a country's development; 2) dialogue impact on the population at local level, usually tied to citizen participation.

The evaluation also found contextual differences about what constituted successful dialogue, based on location and the type of actor in the country case studies, as well as on mapping survey results. While policy dialogue's long-term goal is often focused on achieving transformational change, there are also multiple smaller changes to which policy dialogue can contribute. These smaller changes represent the outputs or outcomes of successful dialogue. How significant they are depends on the context. In DRC, for example, just getting women's organisations represented within some dialogue processes is considered a major success. In Guatemala, by contrast, where there is a highly vocal women's movement, CSOs consider successful policy dialogue as processes that lead to changes in laws and government practices, which reflect the voices of multiple population groups. There was a consensus among all stakeholder groups consulted that successful policy dialogue to promote GE requires

a long-term perspective and investment of resources and time − a view with which the evaluation agreed.

Key Finding #6: Three indicators of successful policy dialogue specifically related to gender equality are that it should: 1) Lead to increased gender equality and women's participation in the reform process and public life; 2) Strengthen the capacity and status of national structures for gender; 3) Contribute to the implementation of gender equality legislation.

These indicators were outlined in the Albania Policy Dialogue Plan 2009-2012, but could fit many different contexts for other Swedish embassies. To provide a more holistic set of indicators, the evaluation posits that they also need to address the process issues on dialogue related to GE that Sida's CSO partners and embassy staff identified as critical. These include that policy dialogue should:

- Lead to different groups of women and the grassroots being represented or participating in the policy dialogue process at national and community levels.
- Involve gender experts and stakeholders from a broad spectrum of sectors.
- Lead to the use of pertinent language on gender equality in mainstream communiqués.
- Lead to improved knowledge of how to integrate gender within diverse contexts, and how to respond to monitoring report findings.
- Address underlying gender inequalities and structural issues.

All these points could potentially be turned into results statements or used as the basis of indicators to include in future policy dialogue plans developed by Swedish embassies to measure explicit GE results and gender-sensitive dialogue processes.
In DRC, one stakeholder framed their definition in terms of the overall goal of GE:

"Policy dialogue on gender equality consists of getting people – whether politicians, civil society, and eventually all of society – to discuss gender equality and put it into practice. So not just new norms and laws, but change in attitudes, and positive behaviour change, so that women and men, girls and boys exercise the same rights."

The evaluation concluded that this definition of successful dialogue with regard to GE could serve well for all of the diverse contexts in which Sida operates.

3.2 ROLE OF EMBASSY STAFF IN POLICY DIALOGUE PROCESSES

The literature review identified key roles that development co-operation and embassy personnel play in policy dialogue processes. When asked about these roles from a GE perspective, Swedish embassy staff outlined that the main ones were as described in the following table.

Table 5: Main Roles Embassy Staff Play in Policy Dialogue Processes Related to Gender Equality

Policy Dialogue Role	Observations
Provide support for non-state and state actors (e.g. Gender Ministry) that active-ly advocate the integration of gender equality in policy dialogue.	All 11 embassies said they played this role, providing evidence that this is a common strategy to make GE more visible within policy dialogue processes in multiple country contexts − e.g. providing support for the partici-pation of women's organisations in dialogue processes.
Provide regular analysis and advice to Sida and the co-operation country on sectoral issues in policy dialogue related to gender equality.	This was regarded as standard practice in ten of the 11 countries surveyed − e.g. in countries involved in EU accession issues, advice on how to integrate EU Human Rights and GE requirements into national policy and practice.
Provide regular analysis and advice on where, when and how to integrate gender equality or other sectoral expertise in policy dialogue	Ten of 11 embassies. To do this in Albania, staff members said they participate regularly in sector working groups and other consultations, and provide written comments on draft policies and strategies, which often serve to underline and strengthen the gender perspective. All staff members also carry out a gender analysis to inform their dialogue with programme and project partners on ways to address gender issues.
Balance Sweden's political agenda and values with Sweden's development co-operation agenda through the policy dialogue process.	This role was mentioned by the majority surveyed, but not to as great a degree (eight of 11 respondents). Three countries described specific issues of concern: in Ukraine, embassy staff work to balance Sida's co-operation agenda and Ukraine's political agenda and values in diverse dialogue processes; in Turkey and Bosnia Herzegovina, they focus on lobbying and advocacy on EU programmes regarding gender issues.
Make public statements on key messages related to gender equality within a policy dialogue context.	This was considered to be an important role in all the case study countries, and embassy staff mentioned that their senior staff (e.g. the Heads of Development Co-operation, and the Chargés d'Affaires and Ambassadors) represent Sweden in high-level consultations and dialogues and donor co-ordination forums, and present clear positions and key messages related to GE. This represents more a form of dialogue for advocacy purposes.

Key Finding #7: Embassies with a designated Gender Focal Point found the technical support role this position provided extremely valuable in helping to integrate/mainstream gender equality in policy dialogue effectively.

Despite this, and the fact that GE is a priority thematic area for Sida, the evaluation found that only six of 11 embassies had a staff member who played this role. This is despite the fact that, according to Sida HQ, all embassies are supposed to designate a Gender Focal Point (GFP). This finding could be an indicator of a disconnection between Sida's commitment to GE as an issue and related resource allocation, particularly for the smaller embassies.

In Albania, embassy staff's gender analysis work is supplemented by the embassy's GFP, who also helps identify key messages and possible concrete actions related to GE for each sector. In DRC, it was noted that the GFP's work was crucial for understanding how to provide technical information about how to raise GE issues in policy dialogue contexts, and the GFP sometimes accompanies the Ambassador or development co-operation staff to provide additional technical support during policy dialogue meetings.

How frequently key messages related to GE were delivered depended upon the embassy concerned. For example, Albania indicated that it was occasional, while Guatemala said it is fairly frequent. The importance of this type of public presence and related statements by Heads of Co-operation and Ambassadors cannot be stressed enough. Embassy staff and CSO partners both stated that the key message related to GE delivered by the Ambassadors, in particular, was pivotal.

The public role embassy staff play with regard to delivering key GE messages in diverse policy dialogue forums also presents the message that Sida and Sweden take seriously the premise that gender mainstreaming is everyone's responsibility, and back this up at the highest levels. In both Guatemala and DRC, embassy staff indicated that, for them, raising GE issues was an obvious thing to do. The evaluation team found that this was due to three factors:

1. It is one of the thematic priorities of Swedish co-operation in general.
2. It is part of the country programme in those countries in particular.
3. It is a core part of Swedish values and, as such, it is the embassy staff's role to promote this issue within programmes and policy dialogue.

There is still, however, a general perception that women are more strongly committed to promoting GE issues in policy dialogue than men. In DRC, it was noted that, in general, *"women in decision-making positions often make a personal commitment to solidarity with other women"*. In Guatemala, however, the evaluation found that male embassy staff have also played this role in recent years, and placed strong emphasis on the need for the embassy to be present and provide solidarity and support for women involved in highly sensitive negotiations or processes. That also sends a clear message on the Swedish embassy's position on GE, both within policy dialogue and within the development co-operation arena in general.

3.3 WHO SIDA ENGAGES IN POLICY DIALOGUE, AND WHY

Key Finding #8: Swedish embassies engage in policy dialogue the most with national CSOs, followed by multilateral organisations and other donors, and to a somewhat lesser degree of frequency with national state actors and international NGOs.

Swedish embassies engage in policy dialogue processes with different actors for different purposes. For example: with CSOs to negotiate financial agreements and to support or strengthen CSO participation in policy dialogue processes at different levels of government; with donors/multilateral organisations to co-ordinate joint positions on key issues; with national governments to discuss policy reform and development. They also engage with various actors in policy dialogue, with differing degrees of frequency. Table 6 below summarises the mapping survey results in this regard. Embassy interaction with state actors was somewhat less than with the other main actors in the "always" category − with the exception of multilateral organisations. Only three embassies out of 11 reported that they always engage in policy dialogue with state actors versus five embassies that always engaged with national CSOs. Six embassies engaged frequently with the government at the executive level and other donors, but nine embassies engaged frequently with multilateral organisations. Overall, the greatest frequency of engagement was with national CSOs, other donors and multilateral organisations, with somewhat less frequent engagement with state actors.

Table 6: Frequency of Engagement (Responses According to Number of Embassies)

	International NGO	National CSO	Multilateral Organisations	Gov/exec	Judiciary	Legislative	Other bilateral	International NGO	National CSO	Multilateral Organisations
Always	3	5	1	3	0	0	4	0	1	0
Frequently	3	6	9	6	1	0	6	1	1	1
Occasionally	5	0	1	2	8	8	0	8	9	10
Never	0	0	0	0	1	2	1	1	0	0

The evaluation posits that the somewhat greater frequency of engagement with national CSOs was probably due to the fact Sida often works strategically through CSOs to enhance its own development objectives, as was seen in the case study countries. Embassies there sought either to strengthen CSO capacity to put pressure on its government to promote rights and GE or else supported the policy dialogue efforts of these organisations, since they were better placed to reach more marginalised groups in the population. This is in keeping with the TOC assumption that strong CSOs contribute to more relevant policy, hold governments accountable, and strengthen democracy. There are some governments with which the Government of Sweden has restricted engagement for diverse reasons.

The frequent interaction with other donors and multilateral organisations probably stems from multiple factors: i) Sida's adherence and strong commitment to the pursuit of a harmonised approach to development co-operation; ii) Multilateral and donor organisations having strong capacity field presence; iii) Mandates to work with the government, which can be particularly useful in those locations where Sweden cannot do so directly.

Key Finding #9: Interaction with state actors in the embassies surveyed was predominantly at the national executive level, as opposed to with the judiciary or legislative bodies, and with very little taking place at the sub-national (provincial or municipal) level.

Both the mapping survey and country case studies confirmed this. It also in keeping with the overall protocols that Swedish embassies have with national governments where the priority target group is the executive branch. In Albania, it was noted that, given the national-level focus of co-operation there, the embassy has less frequent dialogue with actors at the sub-national level. Where policy dialogue did take place at the provincial and municipal levels, it was mostly in the context of field visits to Sida-supported programmes and projects with sub-national components, especially in the natural resource management and environment sectors. In Guatemala, the embassy worked more through national CSOs and international NGOs at the municipal level, as these organisations had greater reach locally.

Where Policy Dialogue on Gender Equality Takes Place

Key Finding #10: Swedish embassy staff frequently take a lead role in initiating discussion of gender equality issues within policy dialogue contexts.

In the mapping survey, when asked about the frequency with which different actors raise GE issues in policy dialogue, about half of Swedish embassy staff indicated that they initiate this discussion. They also stated that other bilateral donors, multilateral organisations and international NGO actors either frequently or occasionally raise GE as an issue in policy dialogue, with national state actors doing so only occasionally. These assertions were borne out by the country case study interviews in all three countries. Ten embassies responded that the media only occasionally initiated GE themes in policy dialogue. It also did not appear to be a priority issue for the private sector.

The survey also showed that embassy staff raised GE issues most often when the dialogue focused on development of a national GE policy, action plan or strategy (eight of the 11 countries surveyed). This was confirmed in the country case studies through more in-depth interviews with embassy staff. Other contexts in which GE was raised by embassy staff included when the dialogue is focused on themes with an obvious GE link, such as GBV. Embassy staff in six of the countries surveyed always raise GE issues in this context. Four of 11 embassies said they did so in this context either frequently or occasionally. Embassy staff also stated that they raised GE as an issue in most policy dialogue discussions, regardless of the sector, either frequently (in six of the 11 countries) or only occasionally (three embassies). This assertion was not borne out to the same degree in the country case studies.

A potential weakness in embassy staff's approach to promoting GE through policy dialogue is that GE issues are still not raised as frequently when the discussion focus is not explicitly gender-specific. Survey responses also showed that − with the exception of policy dialogue focused on development of a national GE policy, action plan or strategy − most embassy staff thought that the degree with which they raise gender as a policy dialogue issue in most contexts was only partially sufficient. When asked if GE is raised mainly when a staff member has a personal commitment to promoting this issue, the responses were very diverse, with no clear answer pattern. This also appeared to be a contentious issue, and some embassy staff felt it should be a matter of course and expected of all Swedish embassy staff, as opposed to being dependent upon an individual commitment to the issue.

Key Finding #11: Where the commitment of Ambassadors and Heads of Co-operation to the promotion of gender equality has been visible, this has contributed significantly to the frequency of gender equality being raised as a policy dialogue issue in diverse contexts.

The evaluation team found this in all three case study countries. For example, a major campaign on women's political participation in Guatemala − while strongly supported by national women's organisation and media leaders − was initiated by the Swedish Ambassador, and led to two other female ambassadors from other countries

becoming involved. Sweden is credited for the success of this particular initiative by CSOs, the media and other donors.

The issue of whether women, especially those in leadership positions, are more passionate advocates for GE issues is an ongoing debate. In DRC, it was observed that *"women in decision-making positions often make a personal commitment to solidarity with other women"*. In Guatemala, however, while senior Swedish embassy staff have taken a strong leadership role in promoting GE through policy dialogue during the period evaluated, male embassy staff have also played this role in recent years. For example, they placed a strong emphasis on the need for the embassy to provide solidarity and support for women involved in highly-sensitive negotiations or processes. That also sends a clear message about the Swedish embassy's position on GE within policy dialogue, and on the issue in general. Overall, the evaluation found that this debate speaks more to the need to ensure all embassy staff are equipped with the tools and resources to be able to address GE comfortably and eloquently in diverse policy dialogue contexts, regardless of their gender.

3.4 POLICY DIALOGUE ENVIRONMENT AND POWER RELATIONS

Country Context

Finding #12: Policy dialogues in the 11 countries surveyed are in line with each country's development priorities, as well as being closely aligned with core Swedish values. Collectively, they present a coherent approach to policy dialogue within a development co-operation context, despite the fact that they are operating in highly diverse environments.

The 11 embassies surveyed operate in very different contexts: Colombia and DRC experience ongoing conflict and related humanitarian crises; Bosnia Herzegovina, Turkey and Albania are focused on EU accession; Bangladesh suffers from multiple natural disasters and is extremely poor; Guatemala's development is disrupted by exceptionally high levels of GBV and socio-economic inequalities, particularly for women and indigenous peoples; Cambodia, Ethiopia and Rwanda are all low-income countries; and Ukraine is caught in a battle over whether the country will be aligned to Europe or the Russian Federation, and is affected by an incipient civil war. These different contexts very much shape how, when and where policy dialogue is used as an instrument of development co-operation, as well as in which forums, with which types of development partners, and the type of policy dialogue process used.

In Guatemala, Sweden has used policy dialogue to place a strong focus on the promotion of democracy, human rights and GBV. In Cambodia, the focus is on democracy and accountability. In Bangladesh, there is a focus on girls' education, and ethical private sector development related to garment workers. The different development co-operation and policy dialogue priorities for the 11 countries are summarised in Table 11 in Annex 4, and provide greater detail regarding these different development agendas and related policy dialogue objectives. Figure 16 in Annex 8 also summarises which strategies were used to promote GE through policy

dialogue in the three primary types of country contexts (conflict, post-conflict, and development co-operation). With one exception, this analysis did not reveal any clear pattern of specific strategies being used consistently in any of the three types of country contexts. The exception was that use of conditionality in resource allocation to promote GE was rated as very effective by embassy staff in post-conflict countries. In DRC and Guatemala, it was also noted that it was effective to provide support for women's organisations in peace processes.

Finding #13: While Sida's financial co-operation role gives embassies power to influence policy dialogue, multiple other factors affect how much they are able or willing to use this influence.

Overall, the evaluation found there was a considerable variation in how Swedish embassies in the case study countries made use of power imbalances arising from financial co-operation, and that they did not have a common approach to this. This was closely linked to the specific contexts in which the embassies operated, as external societal or government factors often determined the degree to which they could make effective use of their financial influence.

In DRC, for example, several embassy staff observed that Sweden's programme partners would usually improve their reporting on gender issues when they were asked to do so during the annual review meetings between embassy staff and its partners. They also all said that while making these changes was not a condition for continuing the funding, the partners always made the suggested changes. This tends to suggest an implicit form of response to a power imbalance, fuelled by the desire to maintain financial support. By contrast, CSO and government partners in Albania noted the opposite, and the embassy there is credited for taking a constructive stance and "*never acting aggressively*". Diverse development partners indicated that they appreciated the long-term approach to co-operation that the embassy there takes, since it allows time for building relationships and trust. Trust relationships were also a key factor that helped establish a positive power relationship between partners in Guatemala.

Use of Conditionality

Key Finding #14: In general, Swedish embassies use a form of implicit conditionality, more than explicit conditionality, to influence how GE is addressed in policy dialogue contexts.

The definition discussed with embassy staff in all three countries, as well as in the interviews related to the mapping survey, is that conditionality refers to making access to development co-operation funding conditional upon the recipient government or organisation agreeing to specific requirements related to GE. The evaluation found that conditionality is a sensitive issue for embassy staff, and they are not sure if they should use it as it seems contrary to core Swedish values. Thus, only two of 11 embassies surveyed stated that use of conditionality in resource allocation to promote GE was a very effective strategy, with one embassy saying it was partially

effective. The remaining embassies were non-committal about this issue, and indicated that they did not know if conditionality was effective.

In the three case study countries, most of Sweden's partners did not feel that the embassies used direct conditionality − that is, formal written clauses related to GE in programme agreements. Instead, the evaluation found that it is widely known that GE is a core value for Swedish co-operation. Sweden's CSO and government partners know that if they want to work with Swedish funds, their organisations need to include a GE component. This is also in line with Sida's thematic priorities. There is, thus, an understanding that Sida support "*comes with gender equality"*. This acts as a form of implicit conditionality.

The evaluation also found that the Sida's practice of selecting like-minded development partners leads to there being a coherent message from Swedish organisations. The 2012 Strategic Report for Guatemala, for example, stated that all Swedish organisations supported by Sida should prioritise the demand for increased GE.[17] This is not a form of direct conditionality, but does show that the values that underpin Sweden's policy dialogue are carried through very clearly and consistently with regard to how its programmes operate and which organisations receive support. Other donors the evaluation was told tended to use more direct forms of conditionality with regard to gender equality. In Albania, embassy staff indicated that using conditionality to promote GE is a partially effective strategy. Despite this, while gender mainstreaming is highlighted in discussions with partners there prior to decisions on financial support, it is not an actual condition set out in Sida agreements and contracts.

In the three case study countries, other international actors (international NGOs, and donors/multilateral organisations) were less conflicted about using conditionality, and indicated that they do make attention to GE a funding condition. Their experience was that the more they insisted on it, the more likely it was that GE would be addressed. Thus, while the evaluation found evidence that conditionality can be used to improve effectiveness from a GE perspective, it appears to go against Swedish core values to take advantage of the power imbalances that exist between Sweden and its development co-operation partners. Moreover, there are also some questions related to sustainability if GE is made a condition to receive support, as opposed to being part on an ongoing negotiated process. Given this, the softer option of ensuring that CSO/international NGO partners selected share common values related to GE, and maintaining and reinforcing the Swedish GE brand, is what is likely to continue to be standard practice.

[17] Sida (2012) Strategic Report September 2011 to September 2012, p 22.

3.5 WHICH POLICY DIALOGUE TYPES, APPROACHES AND SUPPORT PROCESSES WORKED BEST?

How Policy Dialogue is Planned and Monitored

Key Finding #15: While Guatemala's dialogue plan was an effective tool for focusing policy dialogue efforts within the embassy's development co-operation programming, Albania's was not. Neither embassy used its dialogue plan to help monitor progress on dialogue objectives.

Only two embassies, Guatemala and Albania, were able to provide the evaluation with dialogue plans that analysed the context in which embassy dialogue was taking place.[18] The use of dialogue plans was introduced in 2010, and thus was still a relatively new process. From the mapping report interviews and DRC field mission, it was clear that most embassies had not yet developed their first dialogue plan. Recent changes in MFA guidelines no longer make this a mandatory process for embassies. When policy dialogue guidelines were in place, they focused on elaborating on policy dialogue at an overall level, and did not include any directives to link the dialogue plan with monitoring and programmes.

Guatemala's dialogue plan clearly outlined the priority sectors for policy dialogue, and why. It also provided key messages and a target audience analysis. A review of policy dialogue actions undertaken by the embassy in those sectors found that it was working actively on the dialogue themes identified.

This was not the case in Albania. Interviews suggested that the embassy's dialogue was in conformity with the dialogue plan issues it had identified. However, the plan's dialogue issues were couched in very general terms − such as women's economic empowerment[19] − and cannot be said to have contributed to a sharper dialogue focus. The plan also did not include any specific objectives or indicators for monitoring dialogue achievements, and has not been used for this purpose. Interviews also indicated that dialogue issues identified as part of the assessment of individual contributions, documented in the embassy's and Sida's assessment memos, were followed-up more consciously by embassy staff.

For these two dialogue plans, the team observed that, in Guatemala, the plan provided a short analysis of the country context and included clear country-level objectives, plus strategies for policy dialogue on GE. This was less the case for the Albanian dialogue plan, which was only two pages long. For Guatemala, the plan included reference to dialogue that was both gender-integrated and gender-specific,

[18] The Swedish embassy in Bosnia Herzegovina did not send the team any of the requested documents.

[19] I-611: Existence of country-level objectives, strategies and indicators for policy dialogue on gender equality.

although the former to a lesser degree. However, the indicators in the Guatemala plan were mainly concentrated at a macro impact level, which make it difficult to measure progress on specific policy dialogue objectives within the time frame of the related country strategy.

An earlier draft of the Guatemala Dialogue Plan, reviewed by the evaluation, had indicated that there was a plan to include an annual performance monitoring plan. However, this was not present in the plan's final draft. This may also explain to some extent why the Dialogue Plan has not yet been used as a monitoring tool there. It also represents a missed opportunity to document, track and analyse the effectiveness of the embassy's approaches to policy dialogue with regard to GE and other thematic issues. There was also a gap with regard to making a clear link between policy dialogue and the specific programmes the policy dialogue is supporting, and no link was made between policy dialogue planning and related policy dialogue support processes, such as evidence-based research. Overall, the evaluation found that both embassies needed to strengthen the monitoring component of their plans.

A review of multiple programme/project documents and policy dialogue minutes from priority sectors in the three case study countries also did not find many references to policy dialogue issues or strategies. For example, a review of 63 documents related to programme and policy dialogue and meeting minutes in Guatemala found only limited references to GE − even for sectoral meetings touching on issues that are fairly gender-specific, such as maternal mortality. This is despite the fact that, in Sida's current contribution management system (TRAC), it is mandatory to formulate and monitor dialogue objectives on a programme/project level. However, this may in par be due to the fact that the programme/project documents reviewed were mainly from the earlier part of the period covered by the evaluation (2008-2011). Nevertheless, even with the TRAC system's new dialogue requirements, the evaluation found that there was a need for an overall co-ordination mechanism for the different dialogue issues that are supposed to be integrated in the programme/project assessments, plans and monitoring processes. In Guatemala, the dialogue plan was one tool used to serve as this co-ordinating mechanism, and provided some evidence that it could be an effective tool for this purpose.

Use of Formal and Informal Policy Dialogue

Key Finding #16: A combination of formal and informal policy dialogue proved to be an effective way to promote GE. However, as informal dialogue is not generally documented, it is difficult to track or assess the effectiveness of specific informal dialogue actions.

Policy dialogue takes place in formal and informal settings. Formal policy dialogue generally takes place: 1) Between the Swedish embassy and specific government ministries or institutions at national or sub-national levels; 2) With other Heads of Co-operation; 3) With multilateral organisations; 4) Between the Swedish embassy and individual international NGOs or CSOs.

Staff from seven of the 11 embassies surveyed indicated policy dialogue that integrates or is explicitly focused on GE takes place predominantly in formal discussion settings, with only two indicating that it takes place mainly in informal

settings. Embassy staff felt that formal and informal dialogue are complementary processes, and that both are needed to achieve dialogue objectives. Formal dialogue is needed to ensure issue visibility and to develop related legal frameworks. Informal dialogue is needed to: i) test the waters when an embassy needs to float a particular issue for which it is not certain of the reception; ii) raise awareness of specific GE issues; iii) obtain quicker results, especially at the community or municipal levels; iv) build alliances with like-minded development partners.

In the case study countries, the evaluation found there were diverse opinions as to whether informal or formal dialogue was the more effective way of promoting gender. Much depended on the purpose for which the dialogue was being used. In Guatemala, more CSOs thought informal dialogue was the more effective approach, as they did not to participate so much in formal dialogue processes. They also have found that it is useful to first raise sensitive issues, such as GBV, in informal dialogue settings. However, the GoG, donors and multilateral organisations considered formal processes to be more effective − not surprisingly, since they are more likely to be engaged in formal dialogue processes. Embassy staff there noted that both were effective, depending upon the dialogue objective.

In Albania, embassy staff argued that formal dialogue was more effective, as it requires stakeholders to articulate an official position (rather than personal views) and, given that the meetings are recorded, the various stakeholders can be held accountable for any commitments and agreements made. In DRC, the predominant view was that the informal and formal dialogue mechanisms that exist, especially gender-specific ones, often overlap in terms of participants, approaches and mandates. However, they act as complementary processes, with the goal of facilitating agreements.

In general, informal dialogue allows the actors involved to explore initial consensus on specific issues prior to raising them in a more formal context. It provides greater flexibility as none of the actors are committed publicly to a specific position and the dialogue is not recorded. It therefore does not have to follow or be limited by the protocols associated with formal dialogue. By the same token, neither does it have the weight of formal dialogue processes. As such, the evaluation found that informal and formal dialogue both have their respective strengths and weaknesses, and were often used strategically by embassy staff in tandem to achieve specific dialogue objectives.

Key Finding #17: Informal dialogue encompasses a wide range of activities, venues, and purposes, and generally takes place more frequently than formal dialogue meetings.

The frequency with which Swedish embassy staff participate in formal and informal policy dialogue also varies, with most formal meetings − such as high-level donor co-ordination dialogues (with Ambassador participation) − being likely to be held annually, meetings involving the different heads of co-operation on a semi-annual basis, and technical assistance mixed with operations review meetings held on a monthly basis. At the informal level, most dialogue meetings take place monthly and focus on technical discussions of dialogue issues, or are blended with advocacy

efforts. Meetings on a weekly basis tended to be very informal − such as coffee meetings and other informal contact.

In DRC, the embassy works primarily with international NGOs, other donors and multilateral agencies − as opposed to the government − on policy dialogue issues. Thus, embassy staff participate both in formal and informal policy dialogue meetings on GE. In general, in the case study countries, the diverse gender co-ordination groups in which the Swedish embassy participated appeared to be mostly venues for information exchange and possible development of joint positions on some dialogue issues.

Overall, a key challenge related to assessing the effectiveness of informal dialogue is that it is not generally documented. Therefore, there is no clear record of how much informal dialogue contributes to Sweden's development co-operation objectives. Since it is not tracked, it may also be that there is a greater use of informal dialogue by some Swedish embassies than is generally perceived by its staff, since they may not count some of their more informal interactions as a form of policy dialogue.

Approaches Used to Promote Gender Equality through Policy Dialogue

Key Finding #18: The most effective strategies to promote gender equality in a policy dialogue context are to: 1) raise GE as an issue in the negotiations of multi-year development co-operation strategies; 2) raise specific GE issues in dialogue on a wide range of issues with different stakeholders at national and sub-national levels.

The evaluation asked embassy staff to assess the effectiveness of 11 strategies that are commonly used to promote GE in a policy dialogue context, identified through a review of the literature and country strategies. Staff were asked to rank these in order of their effectiveness in the context in which they were working. Strategies included variations on the types of dialogue outlined in Table 3, but from a GE perspective. By asking embassy staff which strategies they used most frequently and found to be most effective, it was possible to review the effectiveness of this range of strategies. These findings were assessed in greater depth in the three case study countries.

The evaluation team analysed the strengths and weaknesses of these different approaches, corroborating survey results with information collected during the field visits, plus additional strategies identified through stakeholder interviews during the case study field visits. This multi-faceted analysis clearly indicated that embassy staff considered the strategies outlined in the finding #18 to be the most effective. The evaluation's assessment of the top six approaches ranked through this analysis process are summarised in the following table.

Table 7: Strengths and Weaknesses of Approaches to Policy Dialogue to Promote Gender Equality

Approach Used & Why	Strengths	Weaknesses	Context
1. Raise GE as an issue in negotiations of multi-year co-operation strategies and annual high-level dialogues with government. To link GE with national priorities and agendas using dialogue for co-operation purposes.	Focuses on concrete GE issues in each sector and at the sub-national/local levels and integrates attention to these issues in government planning processes.	These meetings tend to be programme-focused and may allow little time for discussion on policy and cross-cutting issues such as GE.	This is particularly effective if these discussions include personnel from gender ministries supported by gender expertise from the Swedish embassy.
2. Build alliances with other donors/multilateral organisations. To ensure consistent key messages from multiple sources in policy dialogue forums (dialogue for donor co-ordination purposes).	Presents a more united front and emphasises importance of core values within international arena, particularly for GE.	Time-consuming, and institutions involved often have different agendas and time-tables for promoting change.	Dialogue for donor co-ordination purposes.
3. Raise GE issues in dialogue on multiple issues with different stakeholders at national and sub-national levels. To strengthen the influence of embassy positions on gender equality & maintain Sweden's credibility & consistency of approach within a dialogue context.	Helps contextualise dialogue so it is relevant to the particular sector/programme and can contribute to identification of concrete options to integrate GE. It also helps focus attention at the community and local level.	It tends to engage government officials who already have a commitment to GE, and has sometimes proved difficult, given the high staff-turnover in ministries, including among Gender Focal Points.	Can be used strategically to provide support in sectors that can act as a catalyst for broader work on GE with state actors.
4. Use a diversity or equity approach/language to address women's participation issues in policy dialogue. To help make progress in contexts where there is either strong resistance to GE issues or misconceptions as to what it means.	Can be an effective means of being inclusive in contexts where GE is viewed negatively or only being a "women's issue".	Unless explicit targets are set for women's participation, it can lead to dilution of attention to GE issues.	Can be used in any policy dialogue context. The key is to ensure that the dialogue still works towards clear GE targets, even if it is couched in alternative language.
5. Use of established women leaders from diverse sectors to champion a specific GE issue. To build a multi-partisan approach to the issues, and can be used to reach a wide range of audiences, (e.g. dialogue for advocacy purposes).	Takes advantage of established credibility and constituencies of women leaders.	Only possible to use this group of women leaders a few times for very specific issues, as otherwise the impact of their collective voice can become diluted over time through over-exposure.	This approach tends to fit best into contexts in which the Swedish embassy is engaged in policy dialogue for advocacy purposes.
6. Lead policy dialogue that is explicitly and fully focused on GE issues. To address past imbalances in selected GE areas (e.g. dialogue for policy development or reform).	Can bring about visible and sustainable changes to policies on GE, and provides a good opportunity for lobbying on specific issues.	Requires expertise in GE issues and in-depth knowledge of the situation in the country to be effective.	Often requires support of multiple partners & stakeholders to be effective.

In DRC, the embassy used a mainstreamed approach to ensure all dialogue processes integrated relevant GE issues into all policy dialogue, regardless of theme. The evaluation has outlined the different steps and actions involved in this mainstreamed approach in DRC, as this was the only embassy interviewed that articulated such a process so clearly. It can also be applied to any of the strategies outlined above. The main steps in the DRC embassy mainstreaming process included the following:

- During regular or specially called meetings on "mainstream" topics embassy staff identify and raise one to two key points related to gender equality
- Embassy staff usually contact the Gender Focal Point to help them prepare key messages before a meeting. (In Albania, they also requested help for this kind of technical support from the HQ-based Gender Help Desk.)
- GE points raised are directly relevant to the topic at hand, and usually focus on a couple of main points related to Sida positions.
- For written communiqués, Swedish embassy staff will bring a prepared statement on the GE points (perhaps one paragraph long) to the meeting, and negotiate it with the other donors.

There was less consensus regarding which strategies embassy staff thought had only limited effectiveness. For example, in Guatemala and Albania the strategy has been to build state actor capacity. This is not the case in DRC, where the embassy elected to focus more on capacity building of CSOs and women's organisations, since DRC is a fragile state with a weak and corrupt government.

Two embassies surveyed did not think modelling of institutional practices and staff conduct/behaviour that demonstrates a valuing of GE was an effective strategy. However, in the case study countries, the evaluation found embassy staff credibility on GE issues − particularly the appointment of female ambassadors − considerably strengthened the embassies' voice on gender issues in policy dialogue. These differences highlight one challenge in working to promote GE by using any development co-operation instrument – that is, it is a highly context-based and culturally-specific area of negotiation. The table above provides a range of strategies that have proved effective in more than one context, and which embassy staff can review to determine what might work best in their own environment.

Policy Dialogue Support Processes

Through the mapping survey and country case studies, the evaluation also identified six processes designed to support policy dialogue. Some are financed through programmes, and some through direct embassy funding (e.g. research studies). Their purpose is to facilitate and strengthen policy dialogue in a development co-operation context − generally for dialogue for either policy development or reform or advocacy purposes. These support processes were not used for policy dialogue for donor co-ordination purposes, and are also distinct from the dialogue used to negotiate or implement specific programmes. Feedback from the diverse data collection processes showed that they also had different degrees of effectiveness, depending on the context in which they were applied. For this reason, there remains a need to use multiple approaches to achieve policy dialogue objectives related to GE.

Table 8: Strengths and Weaknesses of Support Processes for Dialogue to Promote Gender Equality

Support Process Used & Why	Strengths	Weaknesses	Context/Observations
1. Funding research to provide evidence. To support evidence-based policy dialogue, particularly on sensitive issues.	Helps strengthen dialogue positions by backing them up with solid evidence. Particularly critical for GE-related dialogue where some parties need convincing of the rationale for promoting GE.	It is not always possible to obtain research in time to support specific dialogue issues, and sometimes research is used as a delaying tactic.	Supports dialogue for policy reform or development; Can also be used to support policy dialogue for advocacy purposes.
2. Supporting policy dialogue by presence of institutional gender specialists. To provide on-the-spot expertise to call on when resistance to addressing specific GE issues is encountered.	Ensures that dialogue is informed by solid gender analysis and ability of institutional representatives to respond effectively to any GE objections raised.	Not all organisations involved in policy dialogue have the resources to have their own gender specialist on staff. Not all dialogue contexts allow for participation of technical experts.	This is partially a capacity strategy and partly one that pertains to policy dialogue. It is particularly critical for policy dialogue related to sector wide approaches where there is a need for input from gender specialists who also have sectoral related expertise.
3. Training men to act as catalysts for change. To help normalise and internalise the view that gender equality is a right in everyone's interests.	Male gender champions can reinforce the message that GE is a priority for everyone, particularly in strongly macho/patriarchal contexts.	Not all men involved in policy dialogue feel comfortable or confident to take on this role. Any related training has to be repeated frequently to take into account changes in male leadership and staffing.	This strategy can also be used in multiple policy dialogue contexts. Identifying who will serve as the male gender champions could also be one function of policy dialogue for donor co-ordination purposes.
4. Providing targeted capacity- building of diverse actors to facilitate their participation in, or ability to influence, policy dialogue from a GE perspective. To build a more sustainable approach to promoting GE.	It can lead to a group of actors that have sufficient expertise to be able to advocate policy change related to GE independently of any donor funding, and increases pressure on governments to comply with their own human rights commitments.	There is often high staff turnover, in government and CSO organisations that can undermine the sustainability of these capacity-building initiatives.	This can be used as one means of developing national capacity for advocacy-based policy dialogue.
5. Modelling institutional practices and staff behaviour that demonstrate a valuing of GE. To demonstrate belief & commitment in GE as a core value.	Makes policy messages more convincing & represents an organisation-wide & potentially more sustainable approach to addressing GE issues. Sweden's high ranking in the gender inequality index gives embassies high levels of credibility.	Swedish authorities engaged in institutional co-operation with development partners have varying levels of commitment and expertise on GE, leading to inconsistent leadership approaches.	This modelling is shown through public stands taken by embassy leadership (e.g. Ambassadors/Heads of Co-operation making public statements on GE in diverse forums); by development co-operation staff in their messaging with partners and other dialogue actors; and embassies following GE principles internally – e.g. gender balance in staffing.

Key Finding #19: A particularly effective way to address GE within a policy dialogue context is to fund research to provide evidence of the need for, and benefits of, including specific GE issues in sector-focused policy dialogue.

This was confirmed by embassy staff in both the survey and the case study countries, as well as by CSO partners. This research provides strong arguments in favour of a

particular dialogue position, and the dissemination of the research results has a wide impact and influence. It is particularly effective where there are gaps in knowledge, which is often the case with regard to GE issues and statistics. Research funding is, however, less effective in situations where the decision-makers have other vested interests, and therefore may not want to act on the evidence provided by the research.

Policy dialogue support processes serve to lay the foundation for the success of specific dialogues. For example: funding research generates evidence-based policies and dialogue; building the capacity of national CSOs helps strengthen the demand side of policy dialogue related to GE, so that advocacy on related issues is not perceived as coming predominantly from external sources. This represents another variation of the multi-layered approach, noted in DRC that has proved to be a good strategy for ensuring both consistency and reinforcement of the work done on GE through other means.

3.6 EFFECTIVENESS OF POLICY DIALOGUE AS DEVELOPMENT CO-OPERATION INSTRUMENT FROM A GENDER EQUALITY PERSPECTIVE

Measuring the Effects of Policy Dialogue on Gender Equality

Based on the theoretical framework developed, the following box presents the categories the evaluation team used to assess effects of policy dialogue on GE.

Box 1: Categories Used to Measure Effects of Policy Dialogue

Given that the evaluation was tasked with assessing the effectiveness of policy dialogue as an instrument of development co-operation, using the case of GE, the team assumed that:

- If it is possible to prove that the policy dialogue processes used by Swedish embassies in a development co-operation context have contributed to increased GE, then this stands as an indicator that policy dialogue is an effective instrument.
- Indicators that measure the effects of policy dialogue on GE needed to be based on measures that would track both the effectiveness of specific types of policy dialogue and of actual GE-related results.

The evaluation developed the indicators outlined in the evaluation matrix accordingly. These indicators are based on the fairly standardised change categories associated with the different levels of change outlined in Results-Based Management logframes and results chains, but adapted specifically to fit a policy dialogue context and processes. The evaluation's indicators specifically assessed the types of GE changes generated through policy dialogue within each of these categories. To these, the evaluation team added two results categories geared directly with changes in GE within a policy dialogue context. Thus, the different categories of analysis the evaluation team assessed included changes in:

1 Knowledge, awareness and attitudes (level 1 change in RBM logframes).
2 Policies and decision-making (level 2 change in RBM logframes).
3 Processes and institutional mechanisms (level 3 change in RBM logframes).
4 Resources allocated to address GE.
5 Gender-related development outcomes (i.e. changes in state, level 4 change in RBM logframes).

Based on these categories, the team developed generic progress indicators that could be applied in any country in which Sida is working. As assessing policy dialogue is a fairly new field of endeavour, to some extent the evaluation process was also testing these indicators. The team's premise was that if it was possible to track progress on these indicators and link this progress to policy dialogue, then this would provide some evidence of policy dialogue effectiveness. To this end, the sections that follow report on progress on the specific aspects of GE to which policy dialogue has

contributed, and which the evaluation was able to document from the different data sources used.

On reflection, after the completion of the data collection processes, the evaluation also concluded that, for GE, the fifth category should also have included indicators related to the contribution of policy dialogue on changes in power relations between women and men. The team had originally considered that this degree of change would be difficult to capture within a policy dialogue context, but found that it was possible in the country case studies to document a few examples of this type of change – for example, the increased participation of women in peace negotiation processes in DRC.

Key Finding #20: The evaluation found that embassy staff demonstrated a limited understanding of how to measure the effect of policy dialogue.

It can be difficult to develop precise indicators to measure policy dialogue results as:

1. There is a limited body of existing and tested generic indicators related to immediate, intermediate and impact level results available that subsequently could be adapted to a more specific context.
2. The majority of the indicators developed can measure only if policy dialogue has made a contribution, but not the extent of this contribution.

The Albania Dialogue Plan did not include any indicators, and DRC does not have a dialogue plan. The Guatemala Dialogue Plan included indicators, but the evaluation found that many of these required a long-term perspective to see significant change. Thus, to use these indicators as a form of performance measurement, the embassy in Guatemala would have to ensure that there is a process in place to track changes over longer periods of time, regardless of changes of personnel. The majority of existing indicators would, however, not have been usable to track either short-term or immediate progress. The country progress reports reviewed tended to discuss policy dialogue results fairly generally, as opposed to in specific terms. This pattern of reporting also led the evaluation to conclude that there may be a limited understanding of effective ways to measure the effects of policy dialogue processes.

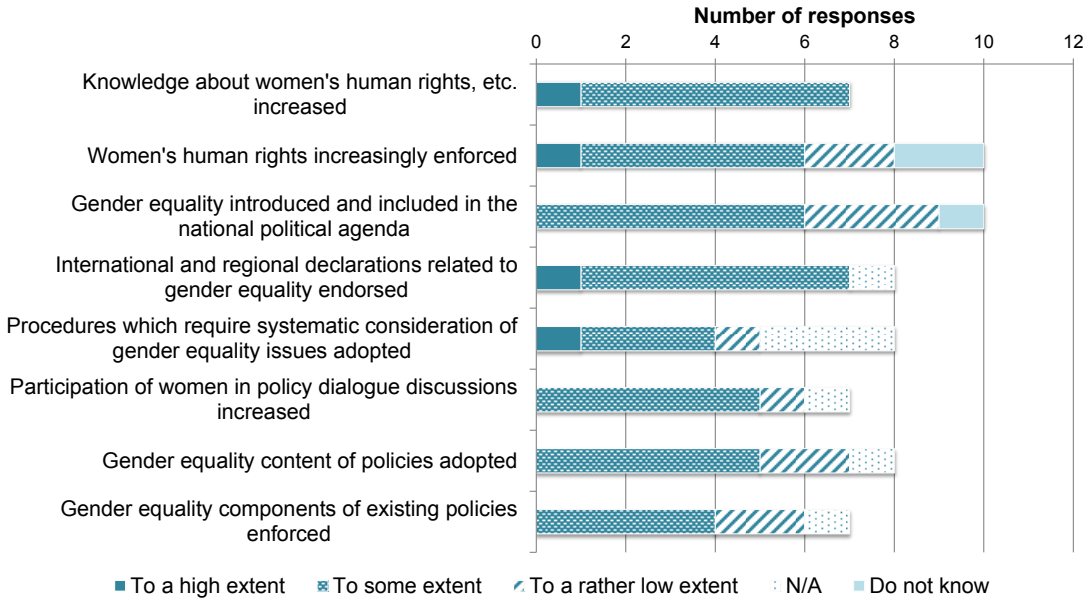
It is also critical to match the period of time covered by Swedish country strategies with performance indicators that measure the effects of policy dialogue within the same timeframe, in addition to longer-term impact indicators. The only dialogue plan to which the evaluation had access, and which included indicators, tended to focus more on longer-term results. In Guatemala, the evaluation also found that embassy staff did not cite their policy development/reform successes to the same extent as did their longer-term CSO and international NGO development partners. The team observed that this was, in part, because most had not worked in Guatemala when the main policy development successes took place. To verify the stakeholder perceptions in this regard, the team had to dig for this information from a combination of the 2007 Country Strategy and the annual country progress reports.

While this is only one example, it illustrated a challenge other embassies may encounter when attempting to measure the effectiveness of diverse policy dialogue processes. It also flags the need to use a combination of shorter-term and medium-term performance indicators that would allow embassy staff, development partners

and Sida a better means to see and assess the fruits of their labours, and to determine where they might need to make a course correction in the policy dialogue strategies used.

To document and analyse the changes to which policy dialogue has contributed, the evaluation has summarised the specific changes/results for each category of analysis by category and country in Annex 5, using the Evaluation Matrix indicators based on a combination of data collected through stakeholder interviews, document reviews, and the survey. Figure 2 below provides a summary of the mapping survey results. The following sections provide an overall analysis of the different categories of results achieved through the policy dialogue process in the three case study countries.

Figure 2 Gender Equality Results to which Policy Dialogue has Contributed



Source: Mapping survey to embassy staff, Particip analyses.

Contributions to Knowledge among Different Actors

Key Finding #21: Embassy staff, CSO and multilateral partners in the case study countries were able to cite multiple examples of how policy dialogue had contributed to changes in understanding and knowledge at the community level, particularly with regard to human rights.

While knowledge-creation can be understood and observed in many different ways, it is often difficult to measure tangibly. The results cited in Table 12 in Annex 5 provide an indication of how increased knowledge gained within the policy dialogue context was measured, and how it can serve as the foundation for other types of GE-related changes. The table also outlines the indicators used as the evaluation's basis of assessment.

In Guatemala, for example, the evaluation found that positive work had been done to increase awareness of women's right to participate in community development

councils, using policy dialogue as an advocacy tool. Embassy staff and the CSOs that worked on the related policy dialogue initiatives indicated that, following the policy dialogue efforts, women's participation in these councils increased, and that they observed changes in attitudes towards women's participation among council members and at the mayoralty level. They also indicated that their policy dialogue work on women's rights (supported by the Swedish embassy) directly created increased awareness among rural and indigenous women of their rights, and that they have been able to document increased demands for rights from the women involved in these dialogue efforts. This also represented a form of policy dialogue for advocacy purposes. While they also noted that there is still a lot of work that needs to be done to change attitudes on a wider scale, it does provide some evidence that policy dialogue can contribute to changes related to underlying societal values with regard to GE.

Several Albanian CSOs also argued the policy dialogue in which they participated has helped create greater awareness about women's rights and gender issues among Albanian women and men. This included among others politicians and government officials. Others observed that while they "*could detect a difference in men's attitude in accepting women as politicians and decision-makers … this was [also] … a result of years of advocacy, lobbying, and awareness raising, rather than just policy dialogue"*.

Key Finding #22: Policy dialogue support processes, such as related research and training on specific policy dialogue issues, were an essential means of awareness-raising and increasing knowledge related to gender equality.

Changes in awareness and knowledge about GE were also supported by research activities and some policy dialogue-related training, both of which reflect policy dialogue support processes. These two inputs, in and of themselves, do not constitute evidence of increased knowledge. Rather, the evidence is in what is done with the training and research products. For example, the embassy in DRC supported training on UN Security Council Resolution 1325, which was designed to lead directly into discussions on the development of a National Action Plan on 1325. As such, this could be considered to represent a form of policy dialogue support. This is due in part to the content of the training, and in part because the training engaged various actors in ways that were highly and deliberately complementary with related policy dialogue processes, and has been contributing positively to related dialogue.

In Albania, the Ministry of Social Welfare and Youth is using the Swedish-funded publication "*Women and Men in Albania"* as a reference for the *Albania National Report on the Implementation of the Beijing+20 Platform of Action.* A survey/analysis on protection orders, carried out by Kvinna till Kvinna (KtK) with Swedish support, has also been used to support dialogue on amendments to Albania's Domestic Violence Law. Research support processes in both Albania and Guatemala were successfully used to support policy dialogue for advocacy and policy development and reform purposes.

In the case study countries, to inform policy dialogue and increase knowledge and awareness through training and research, this work needed to be strategically targeted

and complementary to other Swedish initiatives. For example, this included work to strengthen Guatemala's National Institute of Statistics' capacity by collecting and analysing data on GBV to feed into the policy and practices reform being done in the justice sector, in partnership with UNDP. The evaluation also found that increasing knowledge among actors through policy dialogue was a relatively easier result to achieve than other types of dialogue results categories assessed, such as increased commitment to resources for GE.

Contributions to Changes in Policies and Decision-making

Key Finding #23: Sida and the Swedish embassies have been able to make a significant contribution to changes in policies affecting GE, with policy development or reform being the type of dialogue that led to the most visible and well-documented changes related to gender equality.

The survey found that eight embassy staff thought that their embassy's policy dialogue work had contributed to the development and adoption/revision of new or existing policies to integrate gender. A review of the country progress reports in the 11 countries surveyed also found that, in all but one (Cambodia), Swedish policy dialogue had contributed to the adoption of new laws or the revision of existing ones. In Bosnia Herzegovina, for example, in 2012-2013, approximately 150 laws were examined from a gender perspective, with support from the Swedish embassy. From this review, 70% of the proposals/recommendations made were adopted. In Guatemala, embassy staff, government officials and several CSOs, plus the mapping survey, indicated the embassy's policy dialogue work had contributed to two gender-specific laws related to GBV and femicide, human trafficking and exploitation, as well as Guatemala's national gender policy and national plan on family violence and GBV.

Table 13 in Annex 5 provides a summary of the policies, laws and strategies to which Swedish policy dialogue contributed in the three case study countries. The extent of these policy changes in the 11 countries is quite significant, in terms of the number of new policies developed or amended. These results are even more compelling given the long-term nature of policy reform and development, and the effort it takes to influence and support these processes.

Taken collectively, this represents a substantial group of gender-focused policy, laws, action plans and strategies. In Guatemala, while Sweden was not the only actor engaged in these dialogue processes, diverse stakeholder interviews indicated the Swedish embassy made a significant contribution to them. In Albania, it was also observed, however, that these changes have typically been brought about through a mix of policy dialogue, financial support and technical assistance, and under the leadership of Albanian state actors. This pattern holds true for Guatemala as well.

The evaluation found in at least one of the case study countries that Swedish policy dialogue was also able to contribute to the enforcement of existing gender-related policies to some degree. In Guatemala, these changes have focused on: enforcement of women's human rights related to GBV and women's political participation; the collection of better statistics to inform gender-related policy

dialogue; and more rigorous application of the Protection of Children and Adolescents Act. Sweden supported all related policy dialogue processes that contributed to these actions. In general, the evaluation found that policy dialogue for policy development or reform was the type of dialogue that led to the most visible and well-documented GE-related changes.

Key Finding #24: In the case study countries, the evaluation found that GE had not been integrated very well in policy development or reform areas that were not focused specifically on gender, e.g. fiscal reform or natural resource management.

In the three case studies, Sweden's contribution was greatest in policy development and reform areas that were focused specifically on GE. There was far less mention, and sometimes no mention at all, in related documentation and interviews with embassy staff of ways in which Swedish policy dialogue processes focused on other sectors − such as natural resources, or fiscal reform − have contributed to GE. In other words, there was considerably less evidence that relevant GE issues had been integrated or mainstreamed into policy dialogue in these other sectors as a cross-cutting issue.

In all three countries, there was also evidence that Swedish policy dialogue efforts contributed to the endorsement, signing and/or ratification of international or regional declarations/agreements related to GE (refer to Annex 4). This is significant as an indication of increased commitment to GE equality by these governments, since it provides greater leverage for CSOs and other national organisations to pressure their governments to comply with and enforce these international and regional agreements.

Changes in Institutional Processes and Mechanisms

Finding #25: Policy dialogue contributed to changes in how governmental institutional mechanisms and processes addressed or integrated gender equality in their policies and services in just a few countries.

These processes and mechanisms included government planning and reporting procedures and practices, and gender mainstreaming processes. Survey results indicated that staff from only one embassy (Ukraine) thought Sweden's policy dialogue work had made a significant contribution to changes in gender mainstreaming within government − in this case, the introduction of gender budgeting. Three other embassies said their dialogue work had made some contribution in this category. In Guatemala, embassy staff, CSO partners and government partners confirmed that Swedish policy dialogue efforts had contributed to a significant change in an institutional process related to reporting incidents of GBV. The other embassies said the results in this area were limited or non-existent.

One can cite changes in related institutional practices as possible evidence of attitudinal change, in that they indicate increased acceptance of a greater valuing of gender equality issues. Significantly, this is an area of change for which the evaluation found the least evidence (refer to Table 13 in Annex 5 for additional substantiation of this observation). Across all three case study countries, the

evaluation found that attitudinal change was hard to capture, except through anecdotal evidence. The country case studies did, however, provide some evidence of increased stated commitments of government and state actors to GE, due in part to policy dialogue processes to which Sweden has contributed. These public commitments can also be taken as a partial indicator of attitudinal change – although there were also external factors such as CSO advocacy that contributed to the increased commitments.

To effect changes in institutional GE processes and mechanisms generally requires changes in the commitment of resources, procedural and policy changes, plus changes in attitudes. To achieve that combination generally takes a more extended period of time to achieve. Policy dialogue can be used to contribute to this objective, but generally requires highly-strategic inputs and considerable patience.

Changes in Resources Allocated to Gender Equality

Key Finding #26: Policy dialogue did not contribute much to Sida's development partners increasing financial resources to promote gender equality.

With a few exceptions, the evaluation found that policy dialogue has not led to its development partners contributing increased financial resources to promote GE. This is significant as the commitment of resources by development partners is often an important factor needed to ensure sustainability of the related initiatives. A contribution of financial or human resources is generally seen as an indicator of increased ownership of a particular policy dialogue issue. In some cases, this is an explicit dialogue objective and in others, it is an implicit assumption that is considered as a part of negotiations related to what resources each party will contribute to specific initiatives. Assessing changes in resource allocation also provides a partial indicator of partner commitment to GE. The strategic areas to which most embassies contributed included the promotion of gender in policy dialogue, support for evidence-based policy research, and capacity-building of CSOs, plus adoption of gender mainstreaming processes. The case studies found that CSOs also contribute to these three areas, mostly in the form of facilities and staff.

The survey and country case studies found governments contributed the least frequently to GE resources of the stakeholder groups consulted. An exception was the case of Guatemala, where Sweden's policy dialogue is directly attributed by both embassy staff and government officials to influencing the GoG's decision to increase government commitments to fund staff positions at the Presidential Secretariat for Women (SEPREM) and the Office of the Defender of Indigenous Women (DEMI) on an ongoing basis. This was also the specific objective of this dialogue process.

In DRC, the evaluation found that the government did not allocate increased resources for as a result of policy dialogue. Indeed, the Ministry of Gender's budget is so low that it cannot cover even its own basic operating costs and staffing. What the evaluation observed from this and other examples is that to measure increased ownership of a specific issue within a policy dialogue context, Sida needs to look beyond financial commitments to include other measures, such as allocation of staff time to work on specific issues, and willingness to revise laws.

In the case study countries, Sweden's policy dialogue work may be having more impact on donors in terms of resource allocation than on national governments − for example, Spain took over a statistics programme initiated by Sweden in Guatemala. In DRC, the evaluation also noted that an increase in resources sometimes has come about through a reallocation of funding, as opposed to directing new funding to support a particular issue − such as a community peace-building project, where the partner changed the selection of which communities would benefit and modified its methodology so as to mainstream GE concerns, following its dialogue with embassy staff.

Overall, in the three case study countries, Sweden's policy dialogue has not yet been very successful in using policy dialogue to obtain commitments for increased resources to promote increased GE beyond organisational allocations of staff time and facilities. The survey confirmed this finding, as it showed that state actors consistently provided resources less frequently to support changes in institutional processes than national CSOs and Sida in ten of the 11 countries surveyed. The country case studies also confirmed that programme support appeared to be more successful in increasing women's access to resources and new opportunities, such as increased access to government health services. As such, with the exception of Guatemala, these findings do not support the TOC assumption that policy dialogue is an effective change factor with regard to increasing resources for GE.

Contributions to Development Outcomes Related to Gender Equality

Key Finding #27: Policy dialogue has contributed to two types of measurable development outcomes related to gender equality: i) Increases in the ability of diverse groups of women and men to realise their rights and freedoms equally in practice and under the law; ii) More balanced or proportional representation of women and men in a specific programme, sector, institution or political process.

This was the view of six of the embassies surveyed (refer to Table 14 in Annex 5 for a summary of related development outcomes). In the country case studies, the evaluation found a greater diversity of opinions, with embassy staff in Albania stating that their dialogue plan had not contributed in a significant way to the integration of GE in policy dialogue, whereas in Guatemala the view was that it had. The survey also found a range of opinion as to whether embassies' dialogue efforts had made contributions to *"diverse groups of women and men being more able to experience the same level of opportunities, benefits and access to resources"*. This was rated to different degrees by the embassies: two indicated that their policy dialogue had contributed to a high extent; three to some extent; four to a low extent; one not at all, and one not applicable. This type of result requires substantial and profound changes in gender and power relations within a society, and takes either considerable time or major critical events such as civil war to come into effect.

Analysing the results reported through the survey, key informant interviews and document review for the 11 countries that participated in the evaluation, it was clear that the primary changes to which Sweden's policy dialogue have contributed to increased GE have taken place at the understanding, awareness, knowledge, decision-

making, and policy levels. To a lesser degree, there have been changes in behaviour, attitudes and practices, and to an even more limited extent in women's state/ conditions of life or status. However, in both DRC and Guatemala, the evaluation was able to observe a clear chain of cause and effect between policy dialogue related to GE and development results that extended to the municipal and community level.

The three main areas where the mapping survey and country case studies showed that Swedish inputs into policy dialogue and support for other actors involved in policy dialogue have contributed to GE-related development outcomes are in the areas of:

- Gender-Based Violence;
- Increased participation of women in decision-making, particularly at local levels;
- Increased access to specific types of government and CSO services.

In keeping with the TOC assumption about the role of strong CSOs in the development and governance process, Sweden's support has also contributed to the demand side by strengthening CSO capacity in government-related advocacy and policy dialogue. From the mapping survey and country case study interviews, the evaluation found that most of these outcomes have been achieved through a combination of policy dialogue, funding of policy dialogue support processes, complementary programme support, consistent messaging related to GE equality on the part of embassy staff, and the selection of development partners with shared values.

3.7 COMPLEMENTARITY OF POLICY DIALOGUE WITH OTHER APPROACHES TO PROMOTE GENDER EQUALITY

"You need to take an eclectic approach. Some methods are more appropriate to certain contexts. The integrated approach should be the one most used … but the targeted approach is important for sectors with the greatest need to address the factors that have led to that situation and change it. Policy dialogue is important because it puts a topic on the agenda, and different actors can have the opportunity to express their opinion about it. This will lead to a change in attitudes and behaviour." (Stakeholder interview – DRC)

Key Finding #28: In the case studies, policy dialogue on GE issues was found to be most effective when explicitly linked with complementary programme approaches, and vice versa.

There was some difference of opinion among the diverse stakeholders interviewed in the country case studies as to whether alternative strategies were a more effective means of achieving GE than policy dialogue. In general, however, stakeholders in all three countries agreed that policy dialogue and other GE strategies were complementary processes, and that both were necessary. The DRC report, in particular, noted that policy dialogue is one of three approaches used to promote GE and women's rights, along with gender-targeted (or interventions with GE as the principal objective) and gender-mainstreamed interventions (or ones with GE as a

significant objective). Most stakeholders interviewed there and in the other countries felt it was impossible to prioritise one approach over the others, or to apply them independently. One DRC embassy staff member summed up this debate with her statement that dialogue was actually the "*glue*" that brought the three approaches together. Thus, the evaluation asserts that it is critical for embassy staff to co-ordinate the application of these different development co-operation instruments to maximise their complementarity.

In both DRC and Guatemala, embassy and CSO staff said there were clear linkages between policy dialogue and results at the community level. In DRC, most were able to cite examples of a specific policy dialogue theme that had translated into community level changes, indicating that it is like a "*network message that passes on down the line*". Embassy staff also noted that, over time, their counterparts have become more involved in the theme of GE, and the related analysis has become more in-depth. In Guatemala, embassy staff cited two main examples: i) dialogue related to women's rights and participation that contributed to inclusion of women as decision-makers in municipal level community development councils; ii) dialogue on women's economic empowerment that has contributed to women's increased income and greater decision-making power at the household level.

In the case study countries the various stakeholders outlined a different range of complementary programme-focused strategies. The evaluation team has summarised a small sample of these below.

Table 9: Complementary Strategies Used to Enhance Integration of Gender Equality in Policy Dialogue

Albania	Guatemala	DR Congo
Provision of core funds and technical assistance to CSOs engaged in advocacy for women's rights and GE.	Adopting affirmative action approaches where women or other groups are particularly under-represented.	Co-ordinating the three GE approaches by applying specific mainstreaming, dialogue tools & agreements with partners.
Carrying out strategic litigation, i.e. identify and pursue cases on critical women's rights issues to establish legal precedents or effect changes in legislation, policy and practice.	Working with regional organisations that do substantial work on GE issues, such as the Inter-American Centre for Women (Organisation of American States).	Improving reporting by including specific questions on GE in the "statement of report" filled out by programme officers when they receive a report from partners (e.g. updated risks, results achieved, and obstacles).
Participation in the preparation of reports on the implementation of human rights treaties and commitments (e.g. CEDAW and Beijing+20 Platform for Action).	Technical accompaniment to support any changes in legal processes arising from policy dialogue.	Embassy staff monitor and follow up on counterpart actions, e.g. asking direct questions of beneficiaries about the changes to their lives, and including this information in progress reports.
Support for the strengthening of gender statistics and the dissemination of gender-disaggregated data.	Increasing awareness of women and the population of their rights, as this in turn increases their demand for these rights.	
Piloting of gender-responsive budgeting at local level.	Building networks, especially with women's organisations on specific issues.	

Across all three case study countries, the evaluation observed that complementarity among policy dialogue and programme support was also necessary, and that gender-

specific and gender-integrated approaches were both needed. While a gender-targeted or integrated project might get funded, policy dialogue is often considered to be a non-spending activity with no accompanying budget but with staff time allocated to support it. The DRC report included an observation that could be applied more generally, *"you have to do all three because you need money to get things done"*. The evaluation also asserts that the different methods can be considered to have distinct purposes and outcomes and need to be applied strategically with their different strengths in mind. This needs to be done while ensuring that where these approaches are complementary when linked together, they create an integral response which is a significant contributing factor to their effectiveness.

3.8 FACTORS AFFECTING POLICY DIALOGUE RELATED TO GENDER EQUALITY

Enabling Factors

Key Finding #29: The main factors that contributed to successful promotion of gender equality through policy dialogue were: 1) The commitment of Sida/Sweden to GE promotion; 2) Joint donor/multilateral organisations advocacy in which Swedish embassies participate; 3) Advocacy of non-state actors for GE within a dialogue context.

The evaluation also assessed the enabling factors and constraints on the effectiveness, impact and relevance of policy dialogue as an instrument of development co-operation using the case of GE, and extrapolated lessons related to policy dialogue in general from these. These factors can also be divided into those over which Swedish embassies have some degree of influence, and are therefore internal to Sida/the embassies, and those that are external in nature, where Sweden has limited or no control/influence.

The first is Sida's commitment to human rights and GE as outlined in its aid framework, which can be considered to be an internal enabling factor. The second and third also are in line with two of the key assumptions of Sida's implicit TOC – a commitment to donor harmonisation and aid effectiveness, and a belief that a strong civil society contributes to development and democracy on multiple fronts. The fairly consistent perception by embassy staff that these three factors enable promotion of GE policy dialogue within a development co-operation context is an indication that these key assumptions do, in fact, act as change factors with regard to GE in the countries that participated in the evaluation.

While survey respondents also considered joint donor/multilateral advocacy to be an enabling factor that has influenced GE promotion through policy dialogue, the country case studies showed the attention each donor gave to gender varied. In Albania, for example, some stakeholders questioned whether donors with a high GE profile did enough to co-ordinate their positions. In DRC, joint donor co-ordination on GE issues was quite important, evidenced by the existence of three formal and informal gender theme groups there. Sweden participates in all three groups.

The Albania, Guatemala and DRC case study interviews also confirmed that advocacy efforts of non-state actors were significant contributors to GE promotion through policy dialogue. In all three countries, the evaluation found evidence that national CSOs have been able to push the GE agenda dialogue venues effectively − a process that the Swedish embassies there have also supported actively.

Key Finding #30: Sida's/Sweden's commitment and the advocacy efforts of non-state actors contributed most to policy dialogue effectiveness, and impact depended strongly upon the country context.

In Guatemala, for example, the evaluation found that these factors – that is, the commitment Sida/Sweden, and the advocacy efforts of non-state actors − were the most important. The first represents a factor that the embassies can control, while the third can be influenced to some degree through embassy support, but is overall more of an external factor. Within that political and cultural context, there is a strong tradition of advocacy related to human rights, and CSOs have both the capacity and tradition in terms of speaking up on human rights related issues, such as GE. This tradition has made it easier for the Swedish embassy to identify development partners that share common core values and CSO-based advocacy processes that could be further enhanced through support. Joint donor/multilateral organisation advocacy was less effective in that context.

In DRC, it is the converse situation, with CSO actors − particularly women's organisation − being relatively weak in their advocacy. Donor co-ordination there is a more influential and relevant enabling factor. While the Swedish embassy has influence over its own related actions, the degree of support from other international organisations is beyond its control. In the mapping survey, embassy staff indicated that the three factors outlined above all had a moderate-to-significant influence on the effective promotion of GE through dialogue processes, with eight of 11 respondents choosing these three options. This view was also confirmed by the evaluation through interviews with a wide range of other stakeholders.

Key Finding #31: In the case study countries, the role of highly visible and strongly committed female ambassadors has acted as an enabling factor for specific gender equality issues.

The highly visible actions by female Swedish ambassadors and the Head of Co-operation in promoting women's political participation in Guatemala has already been mentioned. In Albania, appointment of a female ambassador also carried a strong message for Sweden's development partners in government and elsewhere. Interviews with embassy staff conducted for the mapping survey and as a part of the country case studies found considerable evidence of a strong personal commitment to the promotion of GE among embassy staff.

There is also the general expectation by embassy staff and diverse development partners that Sweden has GE as a core value. In DRC, anecdotal evidence indicated that Congolese political decision-makers would initiate discussions on GE in their meetings because they knew the embassy officials would do so as a matter of course. This could potentially be considered either to be a change in practice representing a

possible shift in attitude, or it could be simple pragmatism. It also appears to make a positive difference when male development co-operation staff from the embassies take the lead in raising GE issues in policy dialogue processes, particularly in country contexts where traditional, patriarchal cultures predominate and there are fairly fixed gender roles and values.

Additional External and Internal Factors

The diverse stakeholders interviewed indicated other factors that contributed to policy dialogue effectiveness (particularly with regard to GE promotion), and which Sida/the embassies were able to influence or make use of. They include:

- Taking advantage of available national gender expertise to support the policy dialogue process with donors, including Sweden being attributed as having helped to make this expertise more readily available (Albania and Guatemala).
- Providing media support for diverse gender equality issues (DRC and Guatemala).
- Breaking the silence about gender-based and sexual violence by national and international actors (DRC and Guatemala).

Enabling factors external to the policy dialogue processes in which Sida/the embassies engaged included:

- The relatively comprehensive policy and legal framework on gender equality in existence, prior to the period evaluated, in Albania, and which provided a basis for policy dialogue discussion on gender equality themes and for CSO advocacy related to enforcement issues.
- Existing laws, institutions, mechanisms that recognise aspects of gender equality (DRC and Albania).
- The influence of international or regional conventions, treaties or agreements (Guatemala).
- The existence of a strong women's movement (Guatemala).

Of the internal enabling factors, Sida's consistent commitment to GE as a stated priority, backed up by policy dialogue and programme support and embassy leadership, was the most effective.

Analysis of these internal and external enabling factors provides insights on potential linkages between gender-related policy dialogue and where future programme support could focus. It also provides input about potentially effective strategies to include in future dialogue plans, particularly if these strategies are well co-ordinated with complementary programmes. Thus, a more in-depth analysis of enabling factors by Swedish embassies could be used to strengthen future policy dialogue efforts.

In general, the evaluation found that what made Swedish embassy policy dialogue processes highly relevant is that the embassies ensured that these processes involving national government and/or CSOs were closely related to all of their respective priorities. This also enabled the dialogue process to be seen as common ground on which the different actors were willing to work and discuss.

Constraining Factors

Key Finding #32: Lack of political will and limited national resources to fund gender-related initiatives were the main factors that acted as constraints to the promotion of gender equality through policy dialogue.

While these two factors underpin some of the reasons that Swedish embassies engage in policy dialogue on GE issues, they remain very real constraints to the effectiveness of the related policy dialogue processes. Both also represent external factors over which Sida and the Swedish embassies often have only limited influence. This perception was confirmed by survey respondents, and by all stakeholder groups in the case study countries. The evaluation concluded that lack of political will, in particular, was a key constraint to dialogue effectiveness and impact. While this is a factor over which the embassies have limited influence, the evaluation did find that Swedish embassy dialogue for advocacy purposes can sometimes help to effect some change in this regard. In general, however, it is perceived as a serious constraint by all stakeholders consulted. In Guatemala, for example, stakeholders observed that the change of administration arising from the last election has made policy dialogue related to GE more challenging, and that there has been decreased political support for this theme since then.

From an internal perspective, Swedish embassy capacity can also serve as a constraint with regard to policy dialogue effectiveness and impact. For example, the staff complement of the embassy in Albania is fairly small, but their workload has increased significantly since 2012. This has meant that staff have less time available to conduct the background research needed to support some policy dialogue processes. The survey also found that internal changes in Sida/Swedish policy were a significant constraining factor only for two embassies.

In general, external factors acted as more of a constraint than internal ones. Embassy staff, for example, indicated that their most significant external constraint for GE promotion through dialogue was the extent of national resources/funding available or committed to support for increased GE. This was considered a moderate or significant constraint by eight of 11 respondents. Six embassies also thought limits on external resources were a moderate-to-significant factor. Their thinking was that if there are insufficient external resources available to support change, dialogue on any theme would be unlikely to be effective. In Guatemala, embassy staff also saw this lack of national resources available for GE as being closely related to the lack of political will, since it also reflects a lack of commitment for these issues and not just the scarcity of resources.

The evaluation team asserts, however, that the perception that increased GE is dependent upon more resources being allocated to this issue sometimes masks other external constraints of equal or greater importance. In DRC, for example, the security and peace sector is dominated by actors that have large budgets to spend on addressing sexual violence. However, these funds are generally spent without applying the conceptual and participatory approaches necessary to ensure that these interventions contribute to transformational change. Thus, there is a need for increased capacity and understanding of how to achieve effective GE results among

these actors. Lack of resources is also sometimes used as an excuse for not taking action. It is important to note, therefore, that policy dialogue − which is essentially unfunded − can serve as an effective tool to bring about changes related to GE.

In the case study countries, the diverse stakeholders interviewed also identified additional constraining factors that are external to Swedish embassy actions, such as:

- Onset of war or other significant conflicts was an important external factor for four of the five countries surveyed where this was applicable.
- Cultural views that allow continued impunity for sexual and gender-based violence (SGBV) and other crimes, such as femicide and trafficking of women and children (DRC and Guatemala). This limits policy dialogue effectiveness as it is much more difficult to get this item on the agenda for discussion if the national government or other partners are not willing to debate or acknowledge these issues.
- The persistence of traditional values and norms (all three case study countries). These external values, with regard to GE, can make discussion of the related issues highly sensitive. This limits where, when and by which actors some GE issues can be raised in a dialogue context.
- High staff turnover in critical government positions in both Guatemala and Albania. In Guatemala, key officials change with every election (if a new party wins). This was cited by several stakeholders interviewed as having led to policy dialogue efforts being less effective.
- Limited government staff capacity in Albania and DRC. In DRC, for example, the ministry responsible for gender had insufficient budget to fund its allocated staff complement. This, in turn, limits the extent of contribution ministry staff can make to dialogue efforts related to GE.

In the case study countries, there is a strong commitment to donor harmonisation and a belief in strong CSOs as change agents. This, combined with a lack of political will, slowness to act, high staff turnover and limited government capacity helps to explain why much of Sida's policy dialogue is conducted with other donors or multilateral organisations, and/or through support for dialogue processes through national CSOs and international NGOs to complement its dialogue work with governments. Given the extent of the constraints, it is to the embassies' credit that they have been able to achieve as much as they have, with regard to GE, through policy dialogue within the development co-operation context.

Capacity of Actors as Enabling/Constraining Factor

Key Finding #33: Limited training provided for embassy staff on how to engage in policy dialogue in a development co-operation context constitutes a constraint to the promotion of GE through policy dialogue, particularly with regard to the use of a mainstreamed approach.

The mapping survey found that almost three-quarters of those surveyed had not received any training on policy dialogue. Of the three embassies where training was provided, two said it had been only partially adequate, and the third that it was of limited adequacy. The low level of relevant training was confirmed during the field visits, as well as in several of the mapping survey interviews and HQ interviews.

Staff from several embassies and HQ stated that their only means of learning how to conduct policy dialogue has been trial and error. While training does not always guarantee that staff capacity is enhanced, embassy staff and the evaluators both identified a clear need for training or other forms of capacity development related to policy dialogue processes.

When asked in which areas they would need further training, mentoring or other support, the embassy staff surveyed indicated multiple themes (listed in the order of priority given):

1. How to effectively integrate gender equality into different policy dialogue forums (seven embassies).
2. Training, mentoring and other types of support regarding how to apply different policy dialogue strategies and advocacy and negotiation skills (six embassies).
3. The need to learn strategies for working effectively with executive, legislative and judiciary state actors, as well as for working with CSOs in policy dialogue processes (four embassies).
4. Evidence-based policy, research and analysis (four embassies).

This summary shows that Sida needs to invest in capacity-building for its own staff with regard to policy dialogue, and not just for its development partners.

Key Finding #34: There was not a consistent approach to capacity-building related to policy dialogue processes for national CSO partners.

This finding was based on mapping survey results and on interviews with CSO, international NGO stakeholders and embassy staff in the case studies. Capacity-building of non-state actors has also proved to be either partially effective or very effective, depending upon the country. In Guatemala, for example, the embassy has not offered much related training and, according to CSO/international NGO stakeholders, it was focused on basic-level gender concepts, not on policy dialogue per se. One CSO involved in fiscal policy reform, however, had recently established an alliance with women's organisations to get their input into this process, so that it could learn more about feminist research methodology. In Albania, the opposite was true, as capacity-building support was directed at government partners, and UN Women (with Swedish financial support) provided training related to policy dialogue to the Directorate of Social Inclusion and Gender Equality in the Ministry of Social Welfare and Youth.

In Albania, while efforts to strengthen CSO capacity have been made, embassy staff and other donors perceived that most CSOs did not have the capacity to participate in policy dialogue effectively. Civil society there is polarised, and the government tends to consult only those CSOs that are supportive of its policies – which clearly limits the inclusiveness and effectiveness of related policy dialogue.

Limited capacity for policy dialogue on GE among bilateral donors and multilateral agencies was an additional constraint noted. Some donors, such as USAID in Guatemala, had a very detailed and proactive gender mainstreaming approach to their policy dialogue processes and projects. Others, however, did not even have an institutional gender policy, and did not have a co-ordinated plan in place

to promote GE through policy dialogue or did not have access to staff expertise that would facilitate this.

Women's organisations can, and also need to, play an important role in policy dialogue. However, many women's organisations have limited capacity to do so. In DRC, one stakeholder observed: *"Gender policy dialogue is not possible because women's participation is not formal and most women are not sufficiently well informed. How many Congolese women know what the Paris Declaration is?"* This was less of an issue in Albania and Guatemala, where the capacity of national women's organisations is much stronger, but is likely an issue in some of the other countries where Sida operates.

4 Conclusions, Lessons Learned and Recommendations

The link between the key findings, conclusions and recommendations is illustrated in the two figures below.

Figure 3 Link between Key Findings and Conclusions

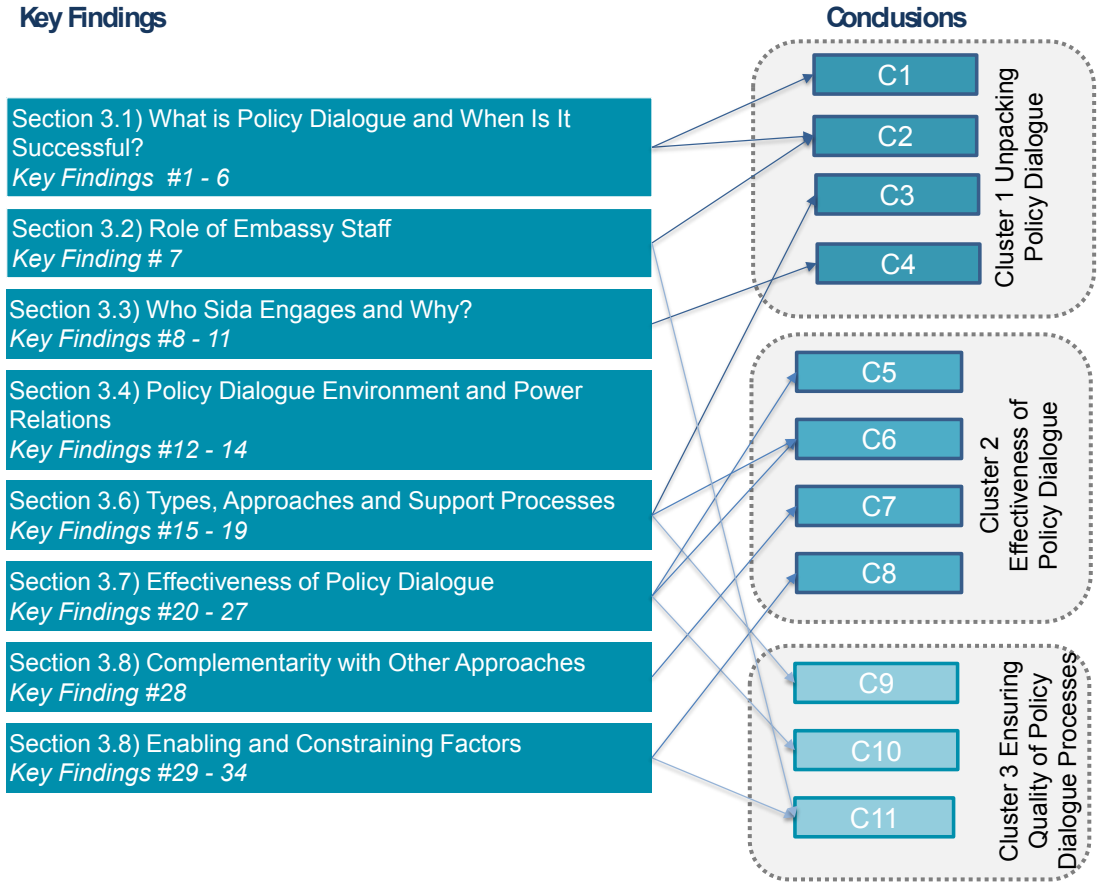
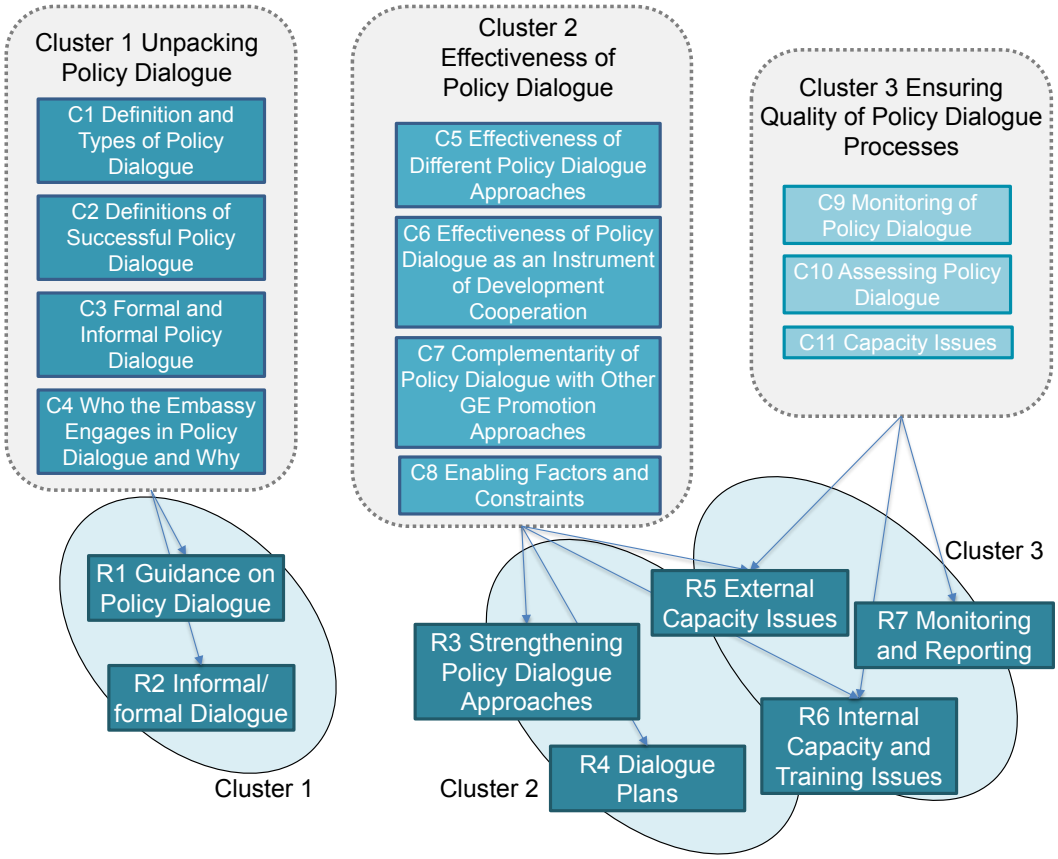


Figure 4 Link between Conclusions and Recommendations



4.1 CONCLUSIONS

The evaluation's key finding and conclusion is that, despite some flaws, policy dialogue has overall been an effective tool. Swedish embassies have been able to use it in diverse contexts to help achieve Sweden's development co-operation objectives. There is also clear evidence it has contributed to increased GE, particularly in the development or revision of gender-specific laws and policies. In the countries reviewed, policy dialogue contributed to some extent to increased awareness of human rights and GE issues, changes in attitudes regarding gender values, changes in institutional gender mainstreaming processes, and increases in women's access to services or opportunities. It has had the least effect with regard to governments increasing resources for GE.

To be effective, policy dialogue needs to be co-ordinated strategically with related efforts in programmes. It also needs to be supported by complementary processes, such as policy-related research and the strengthening of CSO participation in policy dialogue. The leadership of Ambassadors and Heads of Co-operation also make crucial contributions to the promotion of GE through policy dialogue processes. Given the complexity and sensitivity of gender as an issue, it requires multiple types of policy dialogue and dialogue strategies to effect change through this development co-operation tool. Regardless of whether the focus of the policy dialogue is GE or another development co-operation objective, it requires a long-term perspective to

change. Therefore, related performance measures need to include short, intermediate and impact indicators to be able to track the effects of policy dialogue within the timeframe of most country strategies.

The evaluation was able to document, however, that engaging in policy dialogue within a development co-operation context is worth the effort. To make it more effective will require greater attention to measuring related progress and contributions to development objectives in a consistent way, and sharing lessons learned on the most effective ways to approach policy dialogue so that it is consciously used to complement programmes and the achievement of Sida's development co-operation objectives. For analytical clarity, we have grouped the more detailed conclusions into three clusters: 1) Unpacking policy dialogue; 2) Effectiveness of policy dialogue; 3) Ensuring quality of the process.

Cluster 1: Unpacking Policy Dialogue

Policy dialogue can refer to diverse processes, and involves many different types of actors. Therefore, the conclusions under this section provide a clearer picture of how policy dialogue is defined, where it takes place, and which actors are usually involved.

Conclusion 1: Definition and Types of Policy Dialogue

While there is a fairly limited consensus on how to define policy dialogue, in a development co-operation context Swedish embassy staff considered that the definition needed to include reference to negotiation between two or more parties about what are their shared values, with these values ultimately helping to determine how financial resources are allocated and which programme approaches to support.

Conclusion is based on findings # 1-4.

In the absence of a clear definition of policy dialogue, the evaluation analysed the definition on which there was most agreement among embassy staff, in relation to the definition outlined in the evaluation's analytical framework, and found the key elements to be fairly similar. There was some divergence in terms of where policy dialogue took place, depending upon the context. It was also evident that context helped shape embassy staff perception and understanding of policy dialogue.

In traditional contexts, such as in Guatemala and Albania, where there is a development co-operation framework in place, embassy staff perceived the financial co-operation aspects of policy dialogue a critical part of the dialogue process, and that the dialogue had to involve at least two actors. In DRC, as the embassy does not have a formal development co-operation programme with the government, formal policy dialogue did not always involve discussion of funding allocations. Instead, these discussions are more likely to occur at the programme level between the Swedish embassy and the recipient organisation, and/or as a programme component. In Albania, which is working actively towards EU accession, the values underlying policy dialogue there are defined to some extent by the priorities associated with the accession process, in addition to the core values on which Sweden bases its development co-operation. In all countries surveyed or studied, there was clear

evidence the embassies' policy dialogue themes focused strongly on the core values highlighted in Sweden's aid policy framework. These underlying values also helped shape embassy staff's definition of policy dialogue.

Based on the diverse evaluation findings, the evaluation team's definition posited that processes that explicitly support the policy dialogue process – such as research designed to support development of evidence-based policy, or building the capacity of national CSOs to engage in policy dialogue – are an intrinsic part of the dialogue process. For this reason, the evaluation team has included reference to these policy dialogue support processes in its own definition and analysis.

Conclusion 2: Definitions of Successful Policy Dialogue

Successful policy dialogue promotes the core Swedish values of open society, human rights, democracy and GE. It is also evidence-based, involves broad-based and meaningful participation of key stakeholders, and leads to concrete actions by the different actors involved.

Conclusion is based on findings # 5-6.

The core values for Swedish embassies that underlie successful dialogue are promotion of human rights, equality, open society, and democracy. In formal dialogue contexts, Swedish embassies often do not have much, if any, control over which actors participate. However, the embassies can direct programme support to strengthen the roles of national CSOs and other actors in diverse policy dialogue processes, and use this as a means of increasing their participation in policy dialogue. This approach is in keeping with the Sida aid framework's underlying principles of promoting an open society. In a weak state, success may need to be defined within more limited parameters, such an exchange of information, increased donor co-ordination, or laying the groundwork for negotiating a future development co-operation framework. Once again, much depends on the embassy context. However, regardless of context, successful policy dialogue on GE needs to be defined as that which actually leads to transformational changes on the ground, and does not just make a commitment to change.

Conclusion 3: Formal and Informal Policy Dialogue

Formal and informal policy dialogue processes serve very distinct purposes, and both are needed to promote gender equality within a dialogue context effectively.

Conclusion is based on findings # 16-17.

A combination of formal and informal policy dialogue is needed to effectively promote GE, but it is difficult to track the effectiveness of informal dialogue as it is not systematically documented. Embassy staff indicated that they use more formal dialogue processes than informal ones. However, informal dialogue processes are neither well-defined nor documented, and the evaluation found that there is a greater use of informal dialogue than embassy staff generally perceived. In the case study countries, the evaluation could not compare the relative effectiveness of the two

processes accurately because progress stemming from informal dialogue is not monitored or tracked officially.

Conclusion 4: Who the Embassy Engages in Policy Dialogue, and Why

Sida's strong commitment to donor harmonisation and aid effectiveness, as well as a belief that having strong national CSOs is a critical building block for the democratic process, strongly influences which actors Swedish embassies engage with most frequently, and how.

Conclusion is based on findings # 8-10.

Swedish embassies engage in policy dialogue processes with different actors for different purposes, such as: with CSOs to negotiate financial agreements and support or strengthen CSO participation in dialogue processes at different levels of government; with donors/multilateral organisations to co-ordinate joint positions on key issues; with national governments to discuss policy reform and development. Embassies engage in dialogue most frequently with national CSOs, other donors, multilateral organisations and, slightly less frequently, with state actors. This was in part, as Sida does a significant portion of its policy dialogue work indirectly through a third party, such as national CSOs, seeking to strengthen their capacity to put pressure on their own government to promote rights and other core Swedish values. These organisations are also better placed to reach more marginalised population groups. In DRC, widespread corruption meant that there was no bilateral co-operation agreement in place. The strong interaction with other donors and multilateral organisations stems from Sida's adherence to, and pursuit of, a harmonised approach to development co-operation. In this context, dialogue with other donors and international NGOs has taken on an even greater importance.

Cluster 2: Effectiveness of Policy Dialogue

The conclusions under this cluster stem from an analysis of which types of strategies and approaches have contributed to successful policy dialogue results, particularly with regard to GE.

Conclusion 5: Effectiveness of Different Policy Dialogue Approaches

To promote GE effectively, Swedish embassies needed to use multiple approaches to policy dialogue, and to complement these with related policy dialogue support processes. Where they have done this, the embassies have been successful in promoting increased GE through policy dialogue, particularly with regard to policy reform and development.

Conclusion is based on findings # 21-25 and tables 7 & 8.

While recognising that the different types of policy dialogue are often undertaken for different purposes, it was still possible to ascertain that the approaches to promoting GE through policy dialogue that were most commonly effective across the board were:

1. Raising GE as an issue in the negotiations of multi-year development co-operation strategies.

2. Building alliances with other donors/multilateral organisations.
3. Raising specific GE issues in dialogue on a wide range of issues with different stakeholders at national and sub-national levels.

These successful approaches provide evidence to support the assumption in Sida's implicit development co-operation TOC, multiple approaches are needed to achieve results in a complex context. The evaluation's sample size did not identify any clear patterns of which strategies were most effective in specific contexts (e.g. in countries involved in EU accession processes or in fragile states). It did identify a range of effective strategies embassies could review to determine which might work well in their own contexts. The policy dialogue support process the majority found most effective was to fund evidence-based research on specific GE issues. This is because diverse stakeholders can use the research results to increase awareness in dialogue contexts (e.g. as a form of dialogue for advocacy purposes), and to provide a strong rationale for adoption of evidence-based policy.

The evaluation findings also supported the TOC assumption that policy dialogue can be an effective instrument to contribute to changes in underlying societal gender values. This was particularly the case for values associated with women's human rights, but less so with regard to increasing women's access to resources and new opportunities. Programme support appeared to be more successful in this regard than policy dialogue, particularly for increasing women's access to specific services.

Conclusion 6: Effectiveness of Policy Dialogue as an Instrument of Development Co-operation

Policy dialogue works best as an instrument of development co-operation in situations where there are clearly-defined policy dialogue objectives and values, consistent key messages complemented by relevant and co-ordinated programme support, and a good network of alliances and partners and types of actors. For gender equality, policy dialogue is even more effective if there is strong and visible support from embassy leadership.

Conclusion is based on findings #18-19 and tables 4 & 5.

The evaluation found that, in the 11 countries that participated in the evaluation, policy dialogue related to GE has made the most visible and significant contribution in the areas of increased knowledge and awareness, and in terms of generating new or improved policy. This was notable in all but one of the countries assessed. The evaluation also found a close link between the use of policy dialogue to promote changes in institutional processes and mechanisms and the related programme support by Sweden and other donors (where there were joint initiatives).

Therefore, the evaluation concluded that policy dialogue can be used effectively to generate specific types of changes. It appeared to help if there was active donor co-ordination or alliances with like-minded donors. However, Swedish embassies were also able to use policy dialogue to contribute to differing degrees of increased GE, even when working on their own and/or with a wide range of national CSOs, while persevering with efforts to influence state actors in sometimes very difficult contexts. In weak states, policy dialogue may be limited to programme settings and/or donor co-ordination efforts. However, even in this context, policy dialogue can be used to

contribute to creating a more enabling environment for the desired development outcomes.

Policy dialogue effectiveness needs to be measured against its specific purpose in each specific context – that is whether it is dialogue for advocacy, policy development and reform, donor co-ordination, or development co-operation framework/programme negotiation or oversight. There is also a need to make it context specific – for example, simply getting women involved in policy dialogue may be a huge success in one country, but relatively minor in another. Dialogue for donor co-ordination purposes could be considered effective, for example, if: it leads to a regular exchange of information among the donor community; this exchange of information leads to the co-ordination of dialogue for advocacy purposes on specific issues; it leads to the sharing of resources and development of joint programmes in any of Sida's priority development areas. Dialogue for the development of co-operation frameworks was uniformly successful – partly because this was a regular annual activity between the embassies and the governments with which they work, and with their CSO partners. The effectiveness of dialogue for advocacy purposes was harder to measure, but the evaluation did find some evidence that it had a positive effect. Policy dialogue effectiveness is also a question of scale.

Policy dialogue with CSOs may be easier for Sida and Swedish embassies because these organisations generally share common core values. However, dialogue at this level also tends to affect smaller numbers of the population. Dialogue with state actors takes longer, but it can affect a country's entire population. In some contexts, Sweden has elected to work more closely with CSOs, international NGOs and other donors/multilateral organisations. This is because:

1. Sida/Sweden has a strong commitment to aid harmonisation and effectiveness, and so must engage actively with other donors and multilateral organisations to achieve this.
2. Some governments are either too weak or too corrupt for Sida to be willing to entrust development co-operation funding to them directly.
3. CSO and international NGO actors share common values with Sida, and are easier to talk to and co-operate with, as well as serving as strategic allies. Moreover, the building of strong national CSOs is a key objective of Sida's implicit theory of change.

In addition, policy dialogue often falls under the category of a non-spending activity and is primarily supported through allocation of staff time to engage in dialogue and related preparations. Thus, the effectiveness of policy dialogue also needs to be considered from the perspective that, by its very nature, it is not funded to the same degree as related programmes. One measure of its effectiveness could, therefore, relate to staff time required to achieve a specific policy dialogue result.

Conclusion 7: Complementarity of Policy Dialogue with Other Gender Equality Promotion Approaches

Policy dialogue in a development co-operation context has worked most effectively when it was explicitly and consciously paired with programme support in the same sector.

Conclusion is based on finding #28 and table 7.

Sensitive issues such as gender can often be broached first in a policy dialogue context, and then further developed through dialogue designed to change related laws or policies, and supported by programmes to consolidate these legal changes. In addition, while support to local initiatives can help generate increased awareness and build capacity, if it is not geared towards systemic change, it does not necessarily contribute to a better policy dialogue on GE. Thus, there needs to be a conscious link between the two processes. There are also contexts in which policy dialogue within a programme setting may predominate due to there being a weak state or no development co-operation framework in place, or because of a conscious decision by Sida for development-related or political reasons to work more through national CSOs than with government actors. In these contexts, it is also critical to look at the most effective ways to use policy dialogue as part of a three-pronged strategy to promote GE. This approach combines policy dialogue with gender-integrated and gender-specific programme initiatives. It is also critical to analyse the optimum intersection and complementarity among these three approaches. Where dialogue plans are in place, embassies need to analyse the complementary use of policy dialogue and programmes to help achieve development objectives and explicitly outline this approach in the dialogue strategy.

Conclusion 8: Enabling Factors and Constraints

Lack of political will and the existence of highly patriarchal societies are the largest external constraints on embassy policy dialogue processes. Sida's strong promotion and commitment to gender equality as a core principle, plus international and regional conventions on gender equality, represent enabling factors that Sida can use to help reduce the influence of some the constraints to effective dialogue on GE.

Conclusion is based on findings #29-32.

Swedish embassies have more control over or ability to influence some of the factors that enable effective policy dialogue than they do over the key constraints that limit its effectiveness. Sida's strong commitment to GE promotion, plus staff's personal commitment to or "ownership" of this issue, also stand as an enabling factor, as does the good relationship Swedish embassies have established with national CSOs and some governments. This latter factor has been one key to Swedish embassies' policy dialogue efforts in some countries. It has helped them act as intermediaries or facilitators of greater linkages between CSOs and government, or to strengthen the role of national CSOs in holding their own governments accountable for meeting human rights and other commitments. Sida's commitment to enhancing CSO participation also acts as an enabling factor. Sweden's development co-operation programme is clearly and coherently based on core values related to human rights,

democracy, open society and GE. Consequently, the embassies present consistent key messages within their dialogue processes. This has helped establish credibility for policy dialogue work. An external factor, over which Sida has no control, is the existence of international and regional conventions and agreements on GE to which governments are signatories. These also represent an enabling factor for dialogue on related themes because governments can be held accountable for complying with them.

The main constraints that limit or slow down progress on achievement of policy dialogue objectives are mainly external. Lack of political will and underlying inegalitarian gender values are the two primary factors acting as a brake and challenge for policy dialogue effectiveness in most of the countries that participated in the evaluation. While these issues underpin some of the reasons that Swedish embassies engage in policy dialogue on GE issues, they remain very real constraints to the effectiveness of the policy dialogue process on this theme. Given these constraints, change related to GE generally requires a long-term perspective and commitment. Embassies, however, have been able to reduce these constraints to some extent through the use of policy dialogue for advocacy purposes, and by providing resources to support government and staff capacity on GE issues, as well as for relevant research to provide evidence for policy development and reform.

Cluster 3: Ensuring Quality of Policy Dialogue Processes

These conclusions focus on the different processes used to monitor, assess and track policy dialogue.

Conclusion 9: Monitoring of Policy Dialogue

Guidance on monitoring of, and reporting on, policy dialogue has remained very limited and, consequently, no consistent and systematic approach has as yet been applied to collect, process and document related information and progress on policy dialogue objectives.

Conclusion is based on finding #19.

It was not clear where and when monitoring of policy dialogue was taking place during the period evaluated. The annual country strategy reports reviewed from the 11 embassies participating in the evaluation included some reference to policy dialogue. However, the evaluation found this information needed to be more specific about what dialogue approaches were used, how successful they were, and to provide related evidence. In addition, while the sample reviewed was small, the two dialogue plans reviewed were quite different with regard to content, format and quality, and did not include a monitoring plan. Neither was used as a tool to monitor progress on policy dialogue. There was also either very limited or no mention of policy dialogue in programme assessment documents reviewed. Collectively, these gaps and inconsistencies represented a lost opportunity for learning.

There was limited guidance provided by the MFA in 2010 on what a policy dialogue plan should contain, and it did not include reference to the inclusion of policy dialogue objectives, results, indicators or monitoring. In Sida's current contribution management system (TRAC), it is now mandatory to formulate and

monitor dialogue objectives on programme/project level plans, and the requirement for dialogue plans has been dropped. However, the evaluation found that there remains a need for each embassy to have some kind of co-ordinating mechanism in place to ensure that there are effective synergies between specific policy dialogue processes and related programme initiatives.

Conclusion 10: Assessing Policy Dialogue

The measurement of policy dialogue impact is still at a rather early stage of development, and it is not yet clear what are the logical or feasible results to expect within the short, medium and long term, and as a result of the use of different types of policy dialogue.

Conclusion is based on Section 3.6.1.

It can be difficult to develop precise indicators to measure policy dialogue results because: i) there is a limited body of tested generic indicators to measure immediate, intermediate and impact level results available which could be subsequently adapted to a more specific context; ii) the majority of indicators developed can only measure that policy dialogue has made a contribution, but not the extent of this contribution. The other main challenges in measuring the effect of policy dialogue are:

1. There are multiple actors participating in policy dialogue processes.
2. It is expensive and often difficult to measure attitudinal change.
3. There are not many existing tested and well-understood indicators and means of measurement that can subsequently be adapted to measure change in specific contexts.

To effectively monitor and assess policy dialogue results, dialogue and monitoring plans need to include immediate and medium-term indicators to complement the longer-term objectives of most dialogues. It is also critical to use indicators that can be measured during the country strategy period and are linked with an embassy's dialogue plan. The indicators related to GE in the evaluation matrix could also be adapted for use in other dialogue sectors. However, these indicators generally measure only the dialogue's contribution to progress and not the extent of this contribution, unless Sweden is the lead in a particular policy dialogue process. They also need to encompass what constitutes a successful dialogue outcome in different contexts, such as in a low-income country or conflict zone.

Policy dialogue is a development co-operation instrument used to help effect change in areas where the desired changes are often long-term objectives and rather open-ended in nature. Given the slow pace of change effected through policy dialogue − as compared with programmes or projects that have a beginning, middle and end − progress arising from such dialogue can be more difficult for embassy staff to see and measure. For this reason, embassy staff are also sometimes not aware of the extent of the success of their policy dialogue efforts. This challenge, however, again speaks to the need for the monitoring and assessment of policy dialogue to include a range of context specific short-term and intermediate-term impact results indicators. Policy dialogue is also often used in complementarity with other development co-operation instruments. This adds to the attribution challenge because

these are often parallel change processes, all of which can influence their respective success or effectiveness.

Conclusion 11: Capacity Issues

The limited provision of training and other means of developing embassy staff's competencies and skills directly related to engaging in policy dialogue has limited their capacity to engage in and monitor policy dialogue effectively.

Conclusion is based on finding #33.

Leading policy dialogue requires complex skills, and engagement with actors in diverse venues, using formal and informal dialogue processes, as well as different approaches and tools. This complexity has not yet been considered sufficiently in staff capacity development efforts in Sweden's embassies, with only three embassy staff having received any related training. This has meant that most have learned how to conduct policy dialogue on the job, through a trial and error process. This limited staff training or guidance/instruction on how to engage effectively in policy dialogue has contributed to an inappropriate level of monitoring (and tracking) of results of policy dialogue in general, and with regard to GE specifically. All staff surveyed indicated that it would be quite useful to have access to more analytical training related to how to engage in effective policy dialogue processes. The evaluation team observed that the priority needs for this training relate to how to monitor progress on policy dialogue objectives and how to mainstream gender into all sectors.

The evaluation found that the presence of designated Gender Focal Points (GFP) was a particularly effective means of strengthening Swedish embassies' capacity to integrate GE into policy dialogue. However, despite Sida's strong commitment to GE as a thematic area, only just over half of the embassies surveyed had a designated GFP who could assist with the promotion of GE within a policy dialogue context. This was offset somewhat by Sida's provision of external expertise through the Gender Help Desk, but there does appear to be something of a disconnect between Sida's stated priorities and the resources allocated to address these priorities.

4.2 LESSONS LEARNED

Based on the data collected and experiences shared by a wide range of stakeholders and sources, the evaluation team has analysed the key lessons learned from this evaluation for Sida and the development co-operation staff of Swedish embassies.

1. **Use of Complementary Approaches:** Policy dialogue and programme/project support can be mutually reinforcing, but special care needs to be taken to ensure they actually complement each other and work towards systemic change as part of a coherent and conscious plan. If this is done, policy dialogue that promotes GE can be very effective. However, there are also situations in which policy dialogue is effective as a stand-alone strategy – for example, when an embassy is introducing a new idea, policy position or programme.
2. **Informal and Formal Dialogue:** Informal dialogue is an important process used to complement formal dialogue. A combination of formal and informal policy

dialogue was found to generate the best results. What constitutes informal dialogue, when and how to use it most strategically, and how to document or measure its effectiveness still needs to be defined and discussed in more depth by embassy staff as an explicit part of the dialogue planning process. Formal dialogue requires stakeholders to articulate an official position to which they can be held accountable, and informal dialogue is critical for following up on such commitments to ensure that there is a common understanding of what has been agreed, and for discussing the next steps to be taken and what kind of additional support, if any, is required. However, the effect of informal dialogue also needs to be monitored and tracked.

3. **Capacity, Expertise and Human Resource Issues:** With the focus on aid effectiveness within development co-operation, there is increasing need for embassy staff to engage in policy dialogue. This need is not yet matched by embassy capacity development efforts. This has meant that staff have primarily had to learn how to conduct policy dialogue through trial and error on the job. Addressing this capacity gap requires a more systematic approach to developing staff competencies and skills related to policy dialogue strategies and the most effective ways to combine them with complementary programmes and dialogue support processes.
4. **Monitoring of Progress on Policy Dialogue:** Without any indicators and monitoring tools at hand, successes and experience cannot be catalogued to the extent required, nor can they be adequately shared (lessons learned). This is an especially important issue for policy dialogue. Indicators also need to be realistic and measure a range of immediate, intermediate and long-term results. To develop these indicators, it is also necessary to go beyond stating policy dialogue objectives by outlining specific results anticipated. There is also a need for indicators and processes to measure the effects of informal dialogue.
5. **Analysis of Underlying Unequal Gender Structures:** Policy dialogue approaches, tools and support processes have an important role to play in making the links between unequal gender and power structures in a country, so that interventions will contribute to addressing causes and lead to lasting change. Policy dialogue is also fundamental to: making the links between the different levels of gender discrimination in society needed to bring about transformation through increasing knowledge and awareness; working to change attitudes and behaviours; developing legal and institutional change; and working to change underlying social norms. When supported by background research that helps to provide evidence to support key policy dialogue positions, the dialogue process for awareness raising, advocacy and policy development and reform purposes is that much stronger.
6. **Role of Leadership:** The role that Ambassadors and Heads of Co-operation, male and female, play in promoting GE in diverse policy dialogue forums is critical. Their contribution needs to be considered as a conscious strategy in future dialogue plans with regard to strategic forums where these high-level personnel will deliver key messages on GE as part of formal and informal policy dialogue processes.

7. **Long-Term Perspective:** The evaluation findings suggest that policy dialogue should be dealt with as a process that can take place at many different levels in society over a long period of time. This is especially the case for policy dialogue on GE, which addresses norms and practices deeply ingrained in most societies and cultures. This long-term perspective means that Sida's approach to policy dialogue needs to be phased with policy dialogue plans establishing long-term objectives and also analysing the stepping stones to reach those objectives that can be achieved through policy dialogue within the timeframe of a typical country strategy.
8. **Policy Dialogue as Participatory Process:** Policy dialogue needs to allow for broad participation, and the views of different stakeholders must be taken seriously. For a policy to be "owned" by society and, thereby, be implementable, diverse stakeholders have to be involved and have the opportunity to weigh positive and negative potential effects of the new policy and to voice their opinions. The dialogue can then be regarded as successful if the issues, concerns and interests of these actors are reflected in the final policy document.

The key elements of Sida's implicit TOC were borne out by the evaluation in the three case study countries, and by responses to several of the mapping survey questions. This TOC could, however, be further strengthened by an explicit reference to the fact that GE is not only a core value for Sida, but also that increased GE has been proved to contribute to development effectiveness overall in most sectors. To achieve increased GE requires a good understanding of gender roles, dynamics and power relations in any given society, and the related identification of where change needs to take place and how to effect this change strategically. Policy dialogue in a development co-operation context is currently one instrument Sida uses to promote GE. The related support processes, particularly support for evidence-based policy research, are also contributing factors to change. Properly supported and complemented by related programmes, policy dialogue can act as an effective instrument to help foster change with regard to GE. It can be used to raise awareness about women's rights, advocate increased equality within a policy development and reform context, help hold national governments accountable for national, regional and international commitments on gender. It also can foster donor co-ordination and support for related strategic dialogues and initiatives.

4.3 RECOMMENDATIONS

Based on the evaluation findings, the team recommends the following actions and approaches to Sida to improve its future use of policy dialogue as an instrument of development co-operation.

CLUSTER 1: UNPACKING POLICY DIALOGUE

Recommendation 1: Guidance on Policy Dialogue

Sida needs to **draft a guidance note on policy dialogue** that defines: i) what it is, within a development co-operation context; ii) what constitutes successful dialogue; iii) the different types and purposes of policy dialogue; iv) when and how they should/could be used, and with

which actors; v) how and where to monitor and report on policy dialogue results.
Main implementation responsibility: Sida Headquarters (HQ)

The recommendation is based on conclusions 1, 2 & 4.

Recommendation 2: Informal/formal Dialogue

Sida needs to work with Swedish embassy development co-operation staff to clarify and define what constitutes **informal policy dialogue**, as well as identify when it should be documented or recorded. It should also develop a means of tracking how such dialogue contributes to specific policy dialogue and programme objectives. This could be done initially through a pilot in a sample set of embassies to test out different means of tracking informal policy dialogue.
Main implementation responsibility: Sida HQ and Swedish embassies

The recommendation is based on conclusion 3 and lesson learned 2.

CLUSTER 2: EFFECTIVENESS OF POLICY DIALOGUE

Recommendation 3: Policy Dialogue Approaches to Promote Gender Equality

Sida and the Swedish embassies need to **continue using multiple approaches to promote gender equality through policy dialogue**, including the use of diverse policy dialogue support processes, in line with the core GE objectives for each country (e.g. policy development or reform, increased participation of women in policy dialogue at different levels of government). These approaches should also consider creating specific budget lines to finance dialogue partners − particularly national CSOs and women's organisations − as a means of making dialogue processes more participatory. They also need to explicitly pair policy dialogue and related programmes, to strengthen the effect of policy dialogue and programme delivery, and to help enforce new and existing policies.
Main implementation responsibility: Sida HQ and Swedish embassies

The recommendation is based on conclusion 5.

Recommendation 4: Dialogue Plans

There is a **need to establish a clear mechanism to strategically co-ordinate the linkages between policy dialogue and programmes**, as well as policy dialogue support processes. Should the dialogue plan requirement be reinstated, these dialogue plans need to be strengthened by developing a more standardised approach regarding content to be used globally. It should include sections on: i) explicit policy dialogue linkages with programme support and research support; ii) a monitoring plan that includes results, indicators, frequency of reporting, data sources, and that outlines who is responsible for these; iii) a related capacity development plan for development partners; iv) identification of which types of policy dialogue processes will be used in which contexts, and why.
Main implementation responsibility: Sida HQ, MFA

The recommendation is based on conclusions 6 & 7.

CLUSTER 3: ENSURING QUALITY OF POLICY DIALOGUE PROCESSES

Recommendation 5: External Capacity and Training Issues

Swedish embassies need to develop training and capacity-building measures for CSO partners − par-ticularly women's organisations − on how to engage effectively in policy dialogue.
Main implementation responsibility: Sida HQ and Swedish embassies

The recommendation is based on conclusions 8 & 11.

Recommendation 6: Internal Capacity and Training Issues

Sida needs to develop an **institution-wide capacity building programme on policy dialogue strategies and approaches**. To ensure this reaches a wide number of staff at HQ and development co-operation staff within the embassies, part of this could be offered as online training courses. This should be complemented by a help desk, and the development of a policy dialogue equivalent of the Gender Black Box to provide easily readable and accessible resources on policy dialogue processes, key messages related to Sida's development co-operation priorities, and on how to measure/monitor progress.
Main implementation responsibility: Sida HQ

Capacity building for development co-operation staff at the embassy level is also needed. In addition to the capacity-building strategies outlined in the recommendation above, this could be done through diverse learning strategies, including: one-on-one coaching; job shadowing; training workshops on specific policy dialogue themes; staff meetings to discuss the most effective policy dialogue approaches in specific contexts.
Main implementation responsibility: Swedish embassies

Sida needs to find ways to **expand the access to gender expertise for development co-operation staff within embassies**, in order to provide technical assistance related to the policy dialogue aspects of GE promotion – such as developing key messages, and how to make the links between policy dialogue, programmes and policy dialogue support processes related to gender. This can be done through diverse means, such as the appointment of Gender Specialists within the embassies, and/or expansion of the Gender Help Desk function.
Main implementation responsibility: Sida HQ and Swedish embassies

The recommendation is based on conclusion 10 and lesson learned 3.

Recommendation 7: Monitoring and Reporting

Country progress reports should include a section that explicitly covers progress on policy dialogue objectives. It can be brief, but should refer to what the specific results are, how they were measured, which inputs contributed to them, and what type of policy dialogue approach was used. Over time, this will help build a body of evidence regarding the most effective approaches to achieving results through policy dialogue.

Sida should develop **generic policy dialogue results indicators** as a tool for operative departments and embassies to assist in the development of results strategies and related monitoring plans. These would focus on results indicators for the priority thematic sectors, as

well as results related to the different types and purposes of policy dialogue. These indicators would also need to cover how to measure the kinds of results possible through policy dialogue processes, and should be accompanied by guidance on how to collect the related data and how to adapt them to measure country-specific policy dialogue outputs, outcomes and impacts.
Main implementation responsibility: Sida HQ and Swedish embassies
The recommendation is based on conclusion 9 and lessons learned 4.

5 Annex

5.1 ANNEX 1: CONSOLIDATED LISTS OF PERSONS INTERVIEWED

The following lists also include staff and persons interviewed at Sida HQ, mostly in the context of the country case studies.

Name	Title	Organisation
Guatemala		
Alarcón, Angelica	Programme Officer	Helvetas
Andrade, Michel	Director	Impunity Watch
Åsa Hedén	Head of Unit, Selective Co-operation and Latin America	Sida HQ
Barrios, Paula	Co-ordinator	Women Transforming the World
Bolaños, Raúl	Director – Analysis Directorate	SEGEPLAN
Briz, Mary	Programme Officer	UN Commission of Human Rights
Camposeco, Juana Maria	Gender Focal Point	Swedish embassy
Cano López, Jose Orlando	Technical Analyst	Ministry of Health
Cano, Margarita	Analyst	SEGEPLAN
Castillo, Patricia	Programme officer	Oxfam
Escobar Sarti, Carolina	Journalist, writer	
Falla, Berta	Advisor	SEPREM
Flores, Mabel	Programme Officer in Sustainable growth in less developed areas (“Pro-pobre”)	Swedish embassy
Gil, Liliana	Development programme specialist.	USAID
Hernandez, Claudia	Director	Foundation of Survivors
Hernández, Claudia	Director	Foundation of Survivors
Herrera, Nelly	M & E Officer	UNDP
Jocholá, Yolanda	Programme Officer	UNFPA
Knowell, Teresa	Assistant Manager	FDLG
Lukschandi, Linn	Director	We Effect
Magnusson, Hans	Head of Co-operation	Swedish embassy – Guatemala
Martínez Palma, Gustavo	Co-ordinator – Co-operation Programme with Sweden	Ministry of Health
Melander, Verónica	Programme Officer for “Democracy and Human Rights”	Swedish embassy
Mencos, Jonathan	Director	ICEFI
Méndez, Ana María	Director	IBIS
Mendoza, Ana Isabel	Communication and public relations	Helvetas
Montenegro, Mirma	Director	Observer of Sexual and Reproductive Health

Monzón, Marielos	Journalist	
Nunes, Ewa	Former Head of Co-operation	Swedish embassy
Ottosson, Mats	Programme Officer	Swedish embassy
Paiz, Luis	Director	Oxfam
Ramírez, Mauricio	Deputy Director	UNDP
Revelles, Belén	General co-ordinator assistant	Spanish Co-operation (AECID)
Rohrer, Tania	Director	Helvetas
Sessa, Manuela	Analyst – citizen security, justice and peace	UNDP
Simán, Verónica	Resident Representative	UNFPA
Sincal, Sotero	Director	Diakonia
Soto, Rogelia	Co-ordinator of peasant economy and territoriality programme	Oxfam
Strandberg, Lena		Swedish embassy
Tanttari, Liisa	Section Chief – Development Co-operation	European Union
Torne, Lucy	Co-ordinator – PAJUST (justice programme)	UNDP
Wennerholm, Carolina	Lead Policy Specialist – Gender Equality	Sida HQ
Werner Dahlin, Ewa	Former Ambassador	Swedish embassy
Zambroni, Jose Francisco	Technical Analyst	Ministry of Health
Albania		
Alketa, Aliaj		General Tax Department
Anastasi, Aurela	Director	Center for Legal Initiatives
Bulko, Estela	National Programme Officer	UN Women
Cacaj, Aida	Tax Inspector, IT Directorate	Albanian Association of Communes
Chalupov, Andrea a	Former HR Officer	Delegation of the European Commission
Dade, Drita	Senior Natural Resource Management Specialist	World Bank
Elofsson, Michael	Head of Unit, Unit for Western Balkans and Turkey	Sida
Engström,Yngve	Counsellor, Head of Co-operation	Delegation of the European Commission
Ferhati, Klothilda		Association for the Integration of Informal Areas
Fredriksson, Lisa	Counsellor, Head of Development Co-operation	Embassy of Sweden
Galanxhi, Emira	Director, Social Statistics Directory	INSTAT
Gjermani, Linda	Programme Officer, Good Governance and Justice	Embassy of Sweden
Kapedani, Rezart	Expert on Biodiversity and Civil Society	Regional Environment Center
Kapidani, Renata	Programme Officer	Kvinna till Kvinna
Katuci, Rezarta	Programme Officer, Gender, Human Rights and Civil Society	Embassy of Sweden
Kelm, Katherine	Senior Land Administration Specialist	World Bank
Kjellson, Thomas	Programme Manager	Sida
Lako, Entela	Cluster Manager, Participation and Environment	UNDP

Leskaj, Ines	Co-ordinator	Albanian Women Empowerment Network
Lopari, Enkelejda	Adviser to the Minister	Ministry of Social Welfare and Youth
Male, Janaq	Country Director	Connecting Natural Values and People (CNVP)
Mitre, Elga	Policy Officer	Embassy of the Netherlands
Mjeda, Silvana	National Programme Officer	Swiss Development Co-operation
Nordlund, Anja	Consultant	Nordic Consulting Group
Nygård, Robert	First Secretary, Programme Officer, Natural Resources and Environment	Embassy of Sweden
Quirjazi, Alpina	Co-ordinator, Department for Development Programming, Financing and Foreign Aid	Prime Minister's Office
Saunders, David	Representative	UN Women
Söderberg, Lars-Johan	Chief Adviser	Statistics Sweden
Tota, Alida	Former Director, Directorate of Gender Equality	Ministry of Social Welfare and Youth
Verbole, Alenka	Senior Democratization Officer	OSCE
Wein, Astrid	Counsellor, Head of Office	Austrian Technical Co-operation
Wittberger, Dolly	Consultant	
Zeneli, Neshat	Director of Employment Service and Migration Department	National Employment Service
DRC		
Areskoug, Eva	Deputy Director, Africa Department;	MFA, Stockholm
Berglof, Paulos	Gender Advisor, Africa Department	Sida, Stockholm
Bipendu, Annie	Programme Advisor	Good Governance, Justice, and Security; UNDP; Kinshasa
Bitondo, Aurélie	Treasurer	Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Buhendwa, Consolata	Stabilization Officer	UNICEF; Kinshasa
Dunnebacke, Annie	Deputy Campaigns Director	Conflict Countries, Global Witness; London
Ebeka, Pélagie	Programme Officer	International Center for Transitional Justice (ICTJ); Kinshasa
Etzell, Christina	Head of Development Co-operation	Swedish embassy-Kinshasa
Flard, Helge	Second Secretary, Political Affairs, Human Rights	Swedish embassy-Kinshasa
Furaha, Cathy	President Director	Association of Women Jurists for the Rights of Women and Children (AFJDF); Synergy of Women against Sexual Violence (SFSV); Butembo (North Kivu).
Furubom Guittet, Anna	Humanitarian Aid	Swedish embassy Kinshasa
Hamilton, Mathew	Senior Grants Officer	Global Witness; London
Isekusu, Claudine	Co-ordinator, Study and Planning Cell for the Promotion of Women, Family and the Protection of Children (CEPFE)	Ministry of Gender, Family and Children; Kinshasa
Johansen, Laura	Second Secretary	Political Affairs, UK Embassy, Kinshasa
Kamashy, Liliane	National Programme Officer, Democracy and Good Governance	Swedish embassy-Kinshasa
Kapur, Nidhi	National Director	International Alert; Goma (North Kivu)

Kenda, Annie	Director, Legal Office	Ministry of Gender, Family and Children
Kitembo, Victor	National Programme Officer, Good Governance and Economic Development	Swedish embassy-Kinshasa
Koskey, Edna	Programme Officer, Elections	Carter Center, Kinshasa
Kronberg, Marianne	Development Analyst; Rwanda, Uganda, DRC Team; Department for Africa	Sida, Stockholm
Kunkufi, Gobi	Study and Planning Cell for the Promotion of Women, Family and the Protection of Children (CEPFE)	Ministry of Gender, Family and Children; Kinshasa
Lamberg-Liszkay, Diane	Director	Carter Center, Kinshasa
Lepira Tshibanda, Cécile	Solidarity Co-ordinator	Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Lindstrom, Camilla	Former Gender Focal Point	Swedish embassy Kinshasa
Lotsove, Josee	Co-ordinator	Association for the Protection and Promotion of Reproductive Health (APROSARE); Bunia (Orientale)
Lusenge, Julienne	Director President	Fund for Congolese Women; Women's Solidarity for Peace and Integral Development (SOFEPAD);
Makusudi, Christine		Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Matundu, Annie	President	Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Mikulu, Jean-Baptiste	GenCap Adviser	Gender Standy Capacity Project (GenCap); UNICEF/OCHA; Kinshasa
Monzongo Bongo, Albert	National Expert on Monitoring and Evaluation	PASMIF II; UNDP; Kinshasa
Moussa, Adama	Deputy Representative	UN Women; Kinshasa
Mukuku, Francoise	Director	If Youth Knew (Si Jeunesse Savait); Kinshasa
Nilsson, Marie	First Secretary, Democratic Governance and Gender	Swedish embassy-Kinshasa
Nkulimba Lunkuka, Christine		Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Noor, Barni	Health Portfolio	Swedish embassy-Kinshasa
Nsamba Kamashy, Elodie	Financial Innovation and Gender Programme Officer	Microfinance Support Programme, Phase II (PASMIF II); UNDP; Kinshasa
Nyombo Zaina, Marie	National Co-ordinator	National Network for Women's Development (RENADEF)
Nzakimuena, Hubert	Manager	Support Programme for Strengthening Justice in Eastern DRC (PARJ-E or "Uhaki Safi")
Poulsen, Helen	Gender Advisor	Department for International Development (DfID), Kinshasa
Pumbulu, Mbimi	Vice President	African Association for the Defence of Human Rights (ASADHO); and Chari-Congo; Kinshasa
Rumbu, Marie Jacqueline		Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa

San Filippo, Claire	Programme Officer, Human Rights House	Carter Center, Kinshasa
Sunnergren, Mette	Former Ambassador	Swedish embassy-Kinshasa
Tambwe Kamwanya, Astride	Co-ordinator	Women's Rights and Sexual Violence Thematic Group; Restauration Center
Tayeye, Esther	Study and Planning Cell for the Promotion of Women, Family and the Protection of Children (CEPFE)	Ministry of Gender, Family and Children; Kinshasa
Tembo, Beatrice		Network of African Women Ministers and Parliamentarians of the Democratic Republic of the Congo (REFAMP); Kinshasa
Van Holder, Pieter	Country Director, DRC	Life & Peace Institute; Bukavu (South Kivu)

5.2 ANNEX 2: EVALUATION MATRIX

The evaluation team developed the following evaluation matrix in response to the evaluation questions in the ToR. The different evaluation instruments have been based on a combination of this evaluation matrix and the conceptual framework.

Evaluation questions 1 to 4 are designed for fact finding and description purposes to provide a clearer picture of what the situation is with regard to policy dialogue and the integration of gender into policy dialogue in the case study countries. Questions 5 to 9 were designed to collect data for assessment and analysis purposes. The team has reorganised and in one case combined some of the questions outlined in the evaluation ToR for greater clarity and efficiency in the development of related indicators.

Table 10: The Evaluation Questions

No.	Evaluation Question	Type
EQ 1	How is policy dialogue and specifically policy dialogue on GE understood by different stakeholders (actors)?	Fact finding and description
EQ 2	What is perceived as successful policy dialogue to promote GE?	
EQ 3	Which actors are involved in policy dialogue in selected countries, and at which level are they involved?	
EQ 4	What approaches and strategies have been used in policy dialogues to promote gender quality?	
EQ 5	What have been the outcomes of dialogues on GE, in terms of changes in attitudes, relations, behaviour, organisational changes, processes, capacity, documentation, policy or other?	Assessment and analysis
EQ 6	How effective is the instrument 'policy dialogue' to promote GE compared to other methods to promote GE and how does it complement other methods	
EQ 7	What are the strengths and weaknesses of different approaches to gender dialogue, given particular contexts?	
EQ 8	What are the main enabling and constraining factors that affect the effectiveness and relevance of policy dialogue to promote GE?	
EQ 9	How do power imbalances between Sida and different actors affect policy dialogue related to GE?	

Fact Finding and Description Matrix

EQ1: Understanding of Policy Dialogue on GE

EQ1 – How is policy dialogue and specifically policy dialogue on GE understood by different stakeholders (actors)?
Justification and coverage of the question
Policy dialogue can refer to diverse processes and involves many different types of actors. Its prominence as a development co-operation tool has increased steadily over the past fifteen years, particularly with the rise of sector-wide approaches. Given the multiplicity of views on policy dialogue there is a need to find out what the common understanding of what policy dialogue is and is for among Sida staff. This will help Sida develop a coherent and consistent approach to policy dialogue in different contexts. GE as a concept and field also involves multiple actors and understandings. When the integration of GE is placed within a policy dialogue context it is therefore critical to have a common understanding of what it means to integrate gender into policy dialogue.
Evaluation criteria
Relevance

Research area 1.1: Perception of policy dialogue by different stakeholders[20]	
Dimensions	*Sources and Tools*
Perception and definitions of Sida staff, state actors, civil society actors, media and private sector actors surveyed or interviewed regarding: • What policy dialogue is? • What are the constituting elements of policy dialogue? • What its purposes are (or should be) in different contexts (e.g., poverty reduction and development, in fragile states, conflict zones and countries undergoing post-conflict reconstruction)? • How widespread are the perceptions and understandings of each group of actors about policy dialogue, its elements and purposes?	Tools: Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff State and non-state actors
Research area 1.2: Perception of policy dialogue on GE by different actors	
Dimensions	*Sources and Tools*
Perception and definitions of Sida staff, state actors, civil society actors, media and private sector actors surveyed or interviewed with regard to: • What policy dialogue on GE is: o E.g., is it solely policy dialogue that focuses on the development or implementation of gender-specific policies? o Is it policy dialogue that focuses on gender-specific issues with specific sectors perceived to have a strong gender component such as gender-based violence in the justice sector? o Is it a policy dialogue process that integrates GE into all sector-focused policy dialogue? o Is it all of these? • What elements make up policy dialogue on GE? • What is or should be its the purpose with regard to GE within different contexts (e.g., poverty reduction and development, in fragile states, conflict zones and countries undergoing post-conflict reconstruction? • How widespread are the different understandings of policy dialogue on GE among Sida staff, state actors, civil society actors, media and private sector actors surveyed or interviewed?	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors

EQ2: Perception of Successful Policy Dialogue

EQ2 – What is perceived as successful policy dialogue to promote GE?
Justification and coverage of the question
Policy dialogue results and outcomes can be challenging to measure in general as it involves negotiation and exchanges of views which take place in both formal and informal settings and are not necessarily linked to a monitoring or logframe process. It is also a process in which many different actors contribute, making it challenging to attribute changes in any particular sector or dialogue process to one specific actor. Different actors also have different perspectives on what constitutes a success of a policy dialogue, particularly with regard to a successful outcome from a GE perspective. Therefore there is a need to document how all of the different actors involved define as a successful policy dialogue and what dimensions success with regard to GE within a policy dialogue process constitutes for them.
Evaluation criteria
Relevance, effectiveness

[20] This question Research areas 1.1 and 1.2 can only be answered definitively for the three country field studies. For the survey, this only covers the perceptions of Sida embassy staff.

Research Area 2.1: Perception of successful policy dialogue by different stakeholders *Dimensions*	*Sources and Tools*
Perception of Sida staff, state actors, civil society actors, media and private sector actors surveyed or interviewed with regard to: • What constitutes successful policy dialogue to promote GE? • What indicators does each group of actors perceive to be proof/evidence of a successful policy dialogue from a GE perspective? For example: o Use of gender analysis by particular actors to inform policy dialogue, o Inclusion of gender as agenda item in policy discussions, o Inclusion of women's organisations in policy dialogue, o Extent of resources provided by national or other actors for inclusion of gender in policy dialogue process, o Inclusion of gender components in key planning/strategy documents and/or presidential directives, o Number of gender-integrated strategies adopted, o Quality of gender components of policies adopted or revised e.g. do they reflect the gender analysis done by national/international experts? o Implementation of gender components of policies adopted or revised, o Initiation of inclusion of GE in policy dialogue by state actors, o Participatory processes used and actors consulted.	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors
Research Area 2.2: Existence of formal mechanisms for gender mainstreaming in policy dialogue processes *Dimensions*	*Sources and Tools*
What mechanisms exist to mainstream GE in policy dialogue with: • Other donors and multilateral organisations, • The executive (national level), • Legislative bodies (national level), • The judiciary (national level), • Sub-national state bodies, • Civil society organisations (rights groups, women's organisations, academic institutions, labour, etc.), • The media, • The private sector? How do each of these actors and Sida report on the integration of gender into policy dialogue in formal/ informal policy dialogue contexts?	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff State and non-state actors Meeting minutes and agendas

EQ3: Actors Involved in Policy Dialogue

EQ3: Which actors are involved in policy dialogue in selected countries, and at which level are they involved?
Justification and coverage of the question
There is also a need to document which actors are involved in policy dialogue processes and to what extent they are involved. For example, the media may not participate directly in the policy dialogue process, but may serve to influence its outcomes and which topics/issues are discussed and by which groups. Which actors are most involved in policy dialogue, particularly that which works to integrate GE as an issue will likely differ from country to country in keeping with the country context. The evaluation therefore will examine who is involved in policy dialogue at different levels within a particular country and where policy dialogue related to GE is taking place to determine if there are clear patterns of involvement and participation and how Sida might use this knowledge to inform country strategies and development co-operation approaches.
Evaluation criteria
Relevance, effectiveness

Research Area 3.1: Types of actors Sida engages in policy dialogue on GE at different levels *Dimensions*	*Sources and Tools*
With what type of actor does Sida engage in policy dialogue on GE at the national and sub-national levels: • Central government and concerned line ministries in a strategic and/or	Tools: Documentary analysis Interviews Web survey

annual policy dialogue, • Elected bodies, • The judiciary, • Civil society organisations (rights groups, women's organisations, academic institutions, labour, etc.), • Political parties, • The media, • The private sector, • Other donors, • Multilateral organisations, • Programme staff and implementing organisations? With which type of actor does Sida engage in policy dialogue on GE most frequently?	Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff State and non-state actors Donors Multilateral Organisations Meeting minutes and agendas

Research Area 3.2 : Where policy dialogue related to GE takes place	
Dimensions	*Sources and Tools*
Extent to which policy dialogue related to GE takes place: • In formal fora, • In informal fora, • In negotiations of multi-year development co-operation strategies, • In negotiations of annual high-level bilateral development co-operation strategies, • Within programmes funded by Sida or jointly with other donors or multilateral organisations, • Other fora?	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors

EQ4: GE Strategies within Policy Dialogue Context

EQ4: What approaches and strategies have been used in policy dialogues to promote gender quality?

Justification and coverage of the question

One of the specific objectives of the evaluation is to identify the strengths and weaknesses of different policy dialogue approaches and strategies. A first step towards that end would be to map the existing approaches and strategies used by Sida and other actors. These approaches and strategies may vary depending on the actors involved and targeted in the policy dialogue as well as the specific country context. Specifically, there is cause for making a distinction between the policy dialogue in countries with which Sweden/Sida pursues long-term development co-operation on the one hand, and countries that are involved in conflict, post-conflict reconstruction, and in other ways are regarded as fragile states on the other. Both types of countries can be found among the 11 selected countries to be surveyed – and the three countries subject for more in-depth study – as part of the evaluation.

Evaluation criteria

Effectiveness, relevance

Research Area 4.1: Types of approaches and strategies used to promote GE issues in dialogue on development co-operation at the national, sectoral and sub-national levels	
Dimensions	*Sources and Tools*
What different types of strategies and approaches does Sida use to promote GE within policy dialogue in countries where the focus of Sida's work is development and poverty reduction (e.g., sector balancing, market balancing, power sharing, global sustainable pluralism, PD within programmes, value or ideology promotion, evidence – driven, etc.)? • With different branches and levels of state actors (executive, legislative & judiciary at the national and sub-national levels), • With civil society actors, • With the media, • With the private sector, • With other donors, • With multilateral organisations? What type of strategies and approaches does Sida use to promote GE within a	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Representatives of other donors and multilateral organisations State and non-state actors Country strategies and annual reports Minutes of meetings

policy dialogue context in countries that are fragile states, involved in conflicts or post-conflict reconstruction? • With different branches and levels of state actors (executive, legislative & judiciary at the national and sub-national levels), • With civil society actors, • With the media, • With the private sector, • With other donors, • With multilateral organisations?	Internal Sida memos Evaluation and review reports

Assessment and Analysis Matrix

The indicators outlined below include those the evaluation team has initially identified as the key ones to measure different aspects of policy dialogue from a GE perspective. Through the evaluation process the team will test these for measurability and to ascertain the actual situation. In this process the team may find additional indicators or evidence and will also document this data as it emerges.

EQ5: Outcomes and Impacts of Policy Dialogue for GE

EQ5: What have been the outcomes of dialogues on GE, in terms of changes in attitudes, relations, behaviour, organisational changes, processes, capacity, documentation, policy or other?		
Justification and coverage of the question		
This question is directly related to the specific objectives of the evaluation to determine to what extent the policy dialogue on GE has spearheaded processes and generated long-term results. Based on international good practice on the evaluation of policy influence, the evaluation team has singled out three key dimensions of possible policy impact: changes in knowledge, attitudes, policies, procedures and institutional mechanisms, and; changes in real development outcomes. Specific indicators have been developed for each of the three key dimensions with a view to test the "measurability" of the results of policy dialogue and provide tangible evidence of what these results have consisted of. The analysis will discuss address conceptual and technical challenges relating to monitoring and evaluating policy dialogue, including most notably the difficulties in establishing causality.		
Evaluation criteria		
Effectiveness, relevance, impact		
JC 5.1: Policy dialogue has contributed to changes in knowledge among different actors		
Indicators		*Sources and Tools*
I-511	Policy dialogue has spearheaded research, surveys and knowledge products on GE, women's human rights and the situation of diverse male and female groups among state and non-state actors	Tools: Documentary analysis Interviews Web survey
I-512	Policy dialogue has contributed to the dissemination of knowledge on GE, women's human rights and the situation of diverse male and female groups among state and non-state actors.	Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Representatives of other donors and multilateral organisations State and non-state actors Annual reports Internal Sida memos Evaluation and review reports
I-513	State and non-state actors demonstrate increased knowledge of GE issues related to specific sectors in policy dialogue discussions and raise related issues in policy dialogue.	
I-514	Training on GE issues within policy dialogue context provided to state and non-state actors.	
JC 5.2: Policy dialogue has spearheaded changes in policies, processes and institutional mechanisms affecting GE (evidence of changes in attitudes and behaviour)		
Indicators		*Sources and Tools*
I-521	Instances/examples where policy dialogue has contributed to attitudinal change and acceptance of the importance of GE issues and to getting GE issues on to the political agenda among different stakeholders, including Sida staff.	Tools: Documentary analysis Interviews Web survey

I-522	Policy dialogue has affected the stated commitment of government and state actors to GE issues.	Sources of Information:
I-523	Endorsement, signing and/or ratification of international or regional declarations/agreements related to GE.	Sida staff (HQ and Embassy) MFA/Embassy staff
I-524	Policy dialogue has contributed to procedural change, e.g. opening up processes whereby policy decisions on GE are made; adoption of related gender mainstreaming processes.	Representatives of other donors and multilateral organisations State and non-state actors
I-525	Policy dialogue has led to inclusion of relevant gender analysis and clauses and enforcement of existing policies with regard to GE.	Annual reports Minutes of meetings Internal Sida memos
I-526	Number and quality of gender-specific or sector-focused policies that promote increased GE developed, adopted or implemented attributed to their discussion within policy dialogue fora by the actors involved.	Relevant policies and laws/regulations Research studies Evaluation and review reports

JC 5.3: Policy dialogue has contributed to resources allocated to support or promote GE

Indicators		*Sources and Tools*
I-531	Increased resources allocated to support integration of GE within policy dialogue.	Tools: Documentary analysis Interviews Web survey
I-532	Increased resources allocated to support increased GE following policy dialogue for programming.	
I-522	Adoption of gender-responsive budgeting practices following related policy dialogue.	Sources of Information: Sida staff (HQ and Embassy) Representatives of other donors and multilateral organisations State and non-state actors Annual reports Minutes of meetings Internal Sida memos Evaluation and review reports Research studies

JC 5.4: Policy dialogue has contributed to real development outcomes related to GE

Indicators		*Sources and Tools*
I-541	Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life related to the adoption, revision or implementation of policies arising from policy dialogue processes in which Sida has participated.	Tools: Documentary analysis Interviews Web survey
I-542	Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life within specific development co-operation sectors and programmes due to related policy dialogue processes.	Sources of Information: Sida staff (HQ and Embassy) Representatives of other donors and multilateral organisations State and non-state actors Annual reports Minutes of meetings Internal Sida memos Evaluation and review reports Research studies
I-543	Increase in representation of diverse under-represented female groups in government, state agencies and elected bodies due to policy adoption, changes or implementation.	
I-544	Evidence that diverse civil society organisations are better able to provide services to and/or act as advocates for equal rights for women and men and more vulnerable groups of women and men.	
I-545	Evidence that public services/programmes related to human rights strengthened or improved following related policy dialogue.	

EQ6: Effectiveness of Policy Dialogue with regard to Increasing GE

EQ6: How effective is the instrument 'policy dialogue' to promote GE compared to other methods to promote GE and how does it complement other methods

Justification and coverage of the question

Policy dialogue on GE is rarely carried out in isolation. It is expected that in most of the case study countries, Sida seeks to promote GE through policy dialogue, gender-specific projects and activities, the mainstreaming of gender dimensions in general programme support, etc. The evaluation question intends to capture the perceptions of different actors relating to the most effective means of promoting GE, to what extent the effectiveness of the policy dialogue can be distinguished from other

means, and what existing means Sida has to plan, track and monitor policy dialogue effectiveness. In turn, the evaluation question will also help the team to identify and analyse the existing and potential synergies between the policy dialogue on GE and other instruments employed within the development co-operation with the selected countries.

Evaluation criteria

Effectiveness

JC 6.1: Specific objectives and expected results of the policy dialogue on GE have been defined, monitored and achieved to a great extent

Indicators		*Sources and Tools*
I-611	Existence of country-level objectives, strategies and indicators for policy dialogue on GE.	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Representatives of other donors and multilateral organisations Country strategies and annual reports Minutes of meetings Internal Sida memos Evaluation and review reports
I-612	Existence and use of tools for monitoring and follow-up of policy dialogue on GE.	
I-613	Evidence of achievement of pre-defined objectives and expected results of the policy dialogue on GE.	

JC 6.2: Explicit linkages and complementarities between the policy dialogue and other aid modalities/tools with regard to GE

Indicators		*Sources and Tools*
I-621	Policy dialogue on GE takes place within a programmatic framework that includes other aid modalities.	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) Representatives of other donors and multilateral organisations State and non-state actors Annual reports Minutes of meetings Internal Sida memos Evaluation and review reports
I-622	Extent to which the changes brought about by different aid modalities can be separated; and measurability of the contribution of policy dialogue to GE in this context.	
I-623	Evidence of synergies between the policy dialogue and other aid modalities with regard to GE issues such as engagement in joint programming, etc.	

EQ7: Strengths and Weaknesses of Policy Dialogue Approaches

EQ7 – What are the strengths and weaknesses of different approaches to gender dialogue, given particular contexts?

Justification and coverage of the question

Building on the answers to EQ4 related to identifying the different approaches to gender dialogue, this question assesses their strengths and weaknesses. This analytical element is key to assessing the relevance and effectiveness of these different approaches in relation to particular contexts and provide important insights for this formative evaluation of Sida's ongoing application of this instrument.

The variables analysed here refer to specific contexts, whether

(1) Gender-equality focused or integrated initiatives, or

(2) Development or conflict-affected.

Another variable is the adaptability of specific policy dialogue approaches to changes in the political or cultural context. The lessons learned by relevant actors will inform report recommendations and future guidance on how to implement and adapt various policy dialogue approaches to said contexts.

Evaluation criteria

Relevance, effectiveness

JC 7.1: Relevance and adaptability of approaches used to particular contexts		
Indicators		Sources and Tools
I-711	Adaptability of policy dialogue approaches to changes in political and cultural context (e.g., adoption of different approaches in response to crises or significant incidences or changes in political parties in power).	Tools: Documentary analysis Interviews Web survey
I-712	Strengthened capacity of diverse actors to participate effectively in policy dialogue that either focuses on or integrates GE in both development and conflict-affected settings/contexts.	Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors

JC 7.2: Assessment of different approaches to policy dialogue for GE		
Indicators		Sources and Tools
I-721	The strengths and weaknesses of types of policy dialogue strategies used, as identified by the different actors involved.	Tools: Documentary analysis Interviews Web survey
I-722	Strengths and weaknesses of policy dialogue strategies used to integrate or focus on GE identified by different actors involved.	Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors

EQ8: Enabling and Constraining Factors

EQ8 – What are the main enabling and constraining factors that affect the effectiveness and relevance of policy dialogue to promote GE?
Justification and coverage of the question
The identification of both enabling and constraining factors with respect to the effectiveness and relevance of policy dialogue contributes to analysing both successful and problematic cases, as delimited in the terms of reference. The factors considered necessarily draw partially on the key categories defined in previous evaluation questions, particularly as regards the processes and outcomes directly related to policy dialogue practice. They are supplemented by identifying external factors as well as partial and unintended outcomes (including actors, context, risks, and other interventions) and jointly assessing the quality of their influence. A gender analysis is of key importance to consider how these factors – which often relate to any type of policy dialogue or development/humanitarian intervention – are pertinent to promoting GE in particular.
Evaluation criteria
Effectiveness, relevance

JC 8.1: Identification of main enabling and constraining factors that affect the effectiveness and relevance of policy dialogue to promote GE		
Indicators		*Sources and Tools*
I-811	Extent and quality of contributions to and priorities of key actors to integration of GE in policy dialogue process (donors, multilateral organisations, state and non-state actors).	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Country strategies Minutes of meetings State and non-state actors
I-812	Influence of changes in national political context and policy approaches during period evaluated in specific countries that either enable or constrain the integration of GE into policy dialogue processes.	
I-813	Availability of internal and external resources to fund inputs needed to integrate GE into policy dialogue processes.	
I-814	Role of changes in Sida policy priorities/ approaches and resources available during period of evaluation.	
I-815	Role of capacity of Sida/embassy staff, state and non-state actors to integrate GE into policy dialogue effectively.	
I-816	Factors related to the timing of policy dialogue for promoting GE: length of time to attain results, frequency and duration of dialogue sessions, and whether dialogue occurs at the appropriate moment in terms of the political context and the policy cycle.	

JC 8.2: Effects of external and systemic/contextual factors on policy dialogue for promoting GE		
Indicators		*Sources and Tools*
I-821	Influence of changes in allocation of values related to GE by state actors at different levels (e.g., adoption of Swedish national interests and values related to GE in policy dialogue).	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Agendas for political dialogue Annual reports Minutes of meetings State and non-state actors
I-822	Partial and unintended effects/outcomes of policy dialogue on promoting gender mainstreaming and GE (e.g., limited effects related to changes in inputs and outputs; increased risk to specific groups of vulnerable women and men; benefits to specific groups of vulnerable women and men greater than anticipated; change in power relations among key actors, etc.).	
I-823	Extent of contributions of other initiatives and development co-operation interventions to achieving GE results expected of policy dialogue.	
I-824	Mitigation of planned and unplanned risks to increased GE and adaptation of policy dialogue processes, particularly factors that contribute to discrimination against women.	
I-825	Extent to which key GE issues and policies and priorities of state and non-state actors related to GE are reflected in policy dialogue objectives, implementation plans and processes and results.	

EQ9: Effect of Power Imbalances on Integration of GE in Policy Dialogue

EQ9: How do power imbalances between Sida and different actors affect policy dialogue related to GE?	
Justification and coverage of the question	
The evaluation question aims at identifying if and how Sida makes use of its status, position and power as a donor to exert leverage in policy dialogue with different actors.	
Evaluation criteria	
Relevance, effectiveness	

JC 9.1: Power imbalances and their implications for the policy dialogue with various actors at different levels and in specific settings		
Indicators		*Sources and Tools*
I-911	What are the existing power imbalances between Sida and the key actors involved in policy dialogue in the countries participating in the evaluation?	Tools: Documentary analysis Interviews Web survey

	Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Representatives of other donors and multilateral organisations State and non-state actors Minutes of meetings Internal Sida memos
JC 9.2 Effect of Sida's status, position and power within selected countries on whether or not and to what extent GE is integrated into policy dialogue at the national and sub-national levels and in its work with non-state actors.	
Indicators	*Sources and Tools*
I-921 Use of conditionalities and/or incentives/sanctions by Sida to ensure that GE is integrated in policy and with which actors (Always, Frequently, Sometimes, Never). **I-922** Use of conditionalities and/or incentives/sanctions by Sida to ensure that GE is integrated in policy and with which actors (Always, Frequently, Sometimes, Never).	Tools: Documentary analysis Interviews Web survey Sources of Information: Sida staff (HQ and Embassy) MFA/Embassy staff Representatives of other donors and multilateral organisations State and non-state actors Minutes of meetings Internal Sida memos

5.3 ANNEX 3: EVALUATION TERMS OF REFERENCE

Terms of Reference
Evaluation of Policy Dialogue as an instrument in Swedish Development Co-operation– the case of Gender Equality

Background
Policy dialogue has been an important instrument in Swedish development co-operation for several years. It features regularly in Swedish co-operation strategy documents. The concept serves a range of different purposes and is used in various ways. Dialogues can be carried out at different levels at which participants are influenced or influence others (Sida 2006:6). Policy dialogue also takes place at different stages of development co-operation, from planning to implementation and follow up. The dialogue concept is used in part to describe a process with the purpose of expressing Swedish positions on certain core issues such as GE, democracy and human rights, and it is used in part to describe a mutual giving and taking, often with the goal of empowering the representatives of the partner country.
Sida has decided to carry out an evaluation of the policy dialogue as a development co-operation instrument. In order to assess its usefulness the evaluation shall focus on one of the Swedish core issues often brought up in policy dialogues – that is, GE. The use of policy dialogue to influence GE has not been systematically evaluated, partly because of its character as a "soft" tool and thus difficult to evaluate and partly because the objectives of the policy dialogue are not always well defined. Evaluations have seldom treated policy dialogue as an instrument to be assessed by its results.

Gender equality has been a longstanding focus area for Swedish development co-operation as well as internationally[21]. The commitment to gender equality was reiterated in the Policy for gender equality and the rights and role of women in Sweden's international development co-operation 2010-2015 (Government Offices of Sweden, 2010) and in the Budget Proposition (BP) 2014 (Government Proposition 2013/14:1). From the perspective of Sweden, gender equality is interpreted to imply a fair distribution of power, influence and resources between women and men with the ultimate aim to more efficiently contribute to poverty reduction. The thematic focus in development programming to promote gender equality in later years has been on women's political participation and influence; women's economic empowerment and working conditions; sexual and reproductive health and rights; and women's security,

[21] UN Convention Against All Forms of Discrimination against Women (CEDAW, 1979), UN Declaration on the Elimination of Violence against Women (1993); UN's fourth World Conference on Women in Beijing (1995); EU plan of Action on Gender Equality and Women's Empowerment in Development 2010-2015.

including gender-based violence[22]and trafficking.

The gender equality policy is to be applied through gender mainstreaming, with the three components of targeted measures, integrated measures and policy dialogue. While the former two approaches have been fairly well evaluated, there is little knowledge about the impacts of policy dialogue on gender equality.

In order to assess the evaluability of policy dialogue as an instrument, Sida commissioned a study in 2008 (Channel Research, 2008). The study concluded that policy dialogue is 'evaluable' and that there is no single best approach to evaluate dialogue processes, but that a pragmatic consideration of the conditions and the availability of information dictate the selection of one or the other. Other donor agencies have more recently become interested in this topic. The Office of Development Effectiveness (ODE) at the Australian Agency for International Development (AusAID) commissioned an evaluation in 2011 of how policy dialogues can be applied in different contexts (Review of Literature and International Practice in Policy Dialogue, McCullough et al. 2011) and the Overseas Development Institute (ODI) prepared "A guide to monitoring and evaluating policy influence" in 2011 (Jones, 2011). A joint evaluation of Support to Civil Society Engagement in Policy Dialogue was commissioned by the Donor Group on Civil Society and Aid Effectiveness in 2011 with the purpose of lesson learning to help development partners gain better understanding of how best to support Civil Society Organizations (CSOs) in the area of policy dialogue.

Policy dialogue between donors and recipient governments can be understood as a negotiation over the allocation of values. On the surface, dialogue appears to be more about the allocation of resources, but the allocation of those resources are guided by values. There are often differences between recipient governments and donors over the allocation of values in relation to development and it has to be understood that these differences occur against a backdrop of power and knowledge imbalances (AusAID 2011). Moreover, in every society, existing norms dictate what is perceived as women's work and responsibilities and what is seen as men's work and responsibilities. To change culturally and socially anchored norms and traditions can take several generations. Therefore, policy dialogues to promote gender equality have to take place at many different levels in the society and go on for a long period of time. Thus, the policy dialogue should be considered both as a process and as an activity, which can lead to tangible results. A policy dialogue cannot be a linear process which moves neatly from stages of agenda-setting and decision-making to

[22] There is a brief on how to conduct dialogue on Gender Based Violence (GBV) (Sida 2010) and a checklist for policy dialogue on sexual and reproductive health and rights (Regeringskansliet 2010).

implementation, but rather a continuous, sometimes contested, reshaped and adaptive process depending upon how the political and cultural context changes.

Evaluation Purpose and Objective

Purpose

The overall purpose of the evaluation is to get a better understanding of what constitutes successful policy dialogues on gender equality in different contexts and to contribute to the improvement of the policy dialogue as an instrument in development co-operation.

Objectives
The specific objectives are to:

- Map and systematise different types of policy dialog on gender equality that occurs in different contexts, including the complex dynamics of policy dialogue processes, actors involved, political and administrative levels, relation to other aid modalities and other aspects that may be considered relevant.
- Identify strengths and weaknesses of different policy dialogue approaches and strategies in terms of effectiveness, impact and relevance.
- Identify the enabling and the constraining environments for a good policy dialogue on gender equality, including Sida's partner's ability and willingness to plan an effective role in it
- Determine what kind of processes and results that are the actual outcomes of a policy dialogue on gender equality (defined in various ways), and what of this is "measurable".
- Identify lessons learnt and propose useful approaches for future policy dialogues to promote gender equality and methods for follow-up.

Intended users and use
The primary intended users of the evaluation are Sida management and staff involved in policy dialogue on gender equality, who can use the evaluation findings to make informed decisions regarding future policy dialogue processes. In particular, the evaluation should be used by Sida's Director General for strategic decision making regarding role of dialogue in Sida's development co-operation and how it should be approached. The evaluation will also form part of Sida's reporting of results (from dialogue) to the Government and the public.
The evaluation is expected to be of corresponding use to the Ministry of Foreign Affairs and the various intermediaries involved in development co-operation. Other intended secondary users are governments in partner countries and the wider donor community. Finally, the evaluation may be used by multilateral actors and the international aid community at large, particularly agencies focusing on policy issues and gender equality.

Scope and delimitations

It is essential to limit the scope of the evaluation to a manageable level, while also recognising that effective policy dialogue takes time and is complex The evaluation shall focus on policy dialogue processes to promote gender equality over a period of at least 7 years and assess these processes both at strategy and contribution (project, programme etc.) level in a number of selected countries. Dialogue should be seen as one instrument, together with funding, technical assistance etc. to pursue objectives of Swedish development co-operation. The selection of countries will be based on criteria of different enabling and constraining environments, historical and cultural contexts, where different approaches have been used, where gender dialogue efforts have been substantial and where there is a reason to believe that useful lessons can be learned. Both successful and problematic cases should be included in the evaluation.

Organisation, Management and Stakeholders

The evaluation shall be managed by Sida, Unit for Monitoring & Evaluation (UTV). The mechanism for quality control and consultation will be a reference group. This group will consist of representatives from Sida UTV, the Department for International Organisation and Policy Support (INTEM), the Unit for Methods Development, Gender Advisors in Sida's operational departments, as well as programme officers for the selected countries. The role of the group is to guide the consultant's work, including giving feedback on the inception phase, draft and final reports. The consultant will have the full responsibility for the implementation of the evaluation, in line with the principles of independence and impartiality. The consultants shall in their proposal also specify how quality assurance will be handled by them.

Evaluation questions and criteria

The country context in the selected countries is expected to play a key role in determining the space for and type of policy dialogues. A contextual analysis is therefore necessary to provide essential information required to answer the evaluation questions. In terms of the OECD/DAC evaluation criteria, this evaluation focuses on effectiveness, impact and to a certain extent relevance. The evaluation should include, but not necessarily be limited to, looking at the following aspects or questions. These shall be elaborated further upon during the inception phase.

Fact finding and description:

- How is policy dialogue and specifically policy dialogue on gender equality understood by different stakeholders (actors)?
- What is perceived as successful policy dialogue to promote gender equality?
- At what levels does policy dialogue on gender equality take place in the selected countries?
- Who are engaged in policy dialogues on gender equality (ministries in partner countries, Swedish embassy staff, Sida staff, NGOs and CSOs, other intermediaries)?

- What approaches and strategies have been used in policy dialogues to promote gender equality and how do power imbalances affect the policy dialogue at different levels and in different settings?
- Assessment and analysis:
- What have been the outcomes of dialogues on gender equality, in terms of changes in attitudes, relations, behaviour, organisational changes, processes, capacity, documentation, policy or other?
- How effective is the instrument 'policy dialogue' to promote gender equality compared to other methods to promote gender equality and how does it complement other methods?
- What are the strengths and weaknesses of different approaches to gender dialogue, given particular contexts?
- What are the main enabling and constraining factors that affect the effectiveness, impact and relevance of policy dialogues to promote gender equality?

Conclusions, Recommendations and Lessons learned

The evaluation shall present conclusions and lessons that give a better understanding of what constitutes successful dialogue in different contexts and that can serve as a basis for reflection and decision making, mainly for Sida, on how to carry out policy dialogue in the future. This includes what can be done differently and better, in order to make the policy dialogue more effective and relevant.

Apart from the broader conclusions and lessons, the consultant shall to the greatest possible extent present actionable recommendations, primarily but not necessarily only to Sida.

Approach and Methodology

Policy dialogue is a continuous process, sometimes contested and often reshaped at multiple stages. To move closer to an understanding of what successful policy dialogue looks like, a broader understanding of the role of policy dialogue in the development of policies and policy implementation, is necessary.

The evaluation shall be conducted as a two phase approach starting with an inception phase with a more open ended mapping process focusing on the conceptualization of policy dialogue and the development of an evaluation approach and methodology. Phase 2 will consist of field studies in selected countries.

Phase 1: Inception (mapping) phase

The inception phase shall cover the following parts:

- Literature review of Swedish and international experiences with policy dialogues, especially with a focus on promoting gender equality. Apart from reviewing relevant literature this exercise should result in developing an operational definition of the concept 'policy dialogue' to be used in the evaluation and a discussion of how to define a 'successful policy dialogue'.

- Short survey on the use of policy dialogues on gender equality in 12 countries (Albania, Bangladesh, Bosnia, Colombia, DR Congo, Ethiopia, Guatemala, Cambodia, Rwanda, Tanzania, Turkey, and Ukraine). The consultants shall map and systematise different types of policy dialogues on gender equality that occurs in different contexts in a number of Sida partner countries, actors involved, political and administrative levels, relation to other aid modalities and other aspects that may be considered relevant. This mapping can be done via telephone (e-mail) interviews and by reading relevant documents.
- Mapping of gender dialogue in 4 selected countries (Guatemala, DR. Congo, Tanzania and Turkey). The selected countries shall be mapped in more detail and initial contacts with relevant Sida and Swedish Embassies staff shall be taken to plan the field studies to be carried out during phase 2 of the evaluation.
- Development/refinement of approach and methodology. As part of the inception phase the consultants have to develop an approach and methods suitable for the evaluation in order to understand the complex dynamics of policy dialogue processes. A participatory approach may help to deepen the knowledge of how different stakeholders, donors and programme officers perceive the policy dialogue processes. The range of data collection methods to be used should include both quantitative and qualitative elements.
- Developing a conceptual framework. The consultants shall also develop a conceptual framework, which can be used across the case study countries. The framework must provide guidance on how to describe and categorise the policy dialogue landscape, help provide factors which are key in defining enabling and constraining environments for policy dialogues on gender equality and how to asses evaluation criteria such as relevance and effectiveness.
- Preparation of draft inception report.
- Facilitation of workshop in Stockholm to share the draft inception report with Sida staff and other stakeholders.
- Finalisation of inception report.

Phase II: Case studies – field studies

The second phase shall consist of in-depth assessment of policy dialogue processes to promote gender equality, on both strategy and contribution level in the four selected countries. The evaluation shall be made in line with the evaluation plan and methodology agreed with Sida as presented in the Inception Report. The consultants shall visit the selected countries and meet with relevant partners and stakeholders as well as with Sida staff both in the countries and at Sida HQ in Stockholm. Towards the end of each field visit the evaluation team shall present preliminary findings to concerned stakeholders and give them an opportunity to discuss the findings before the final reports are written up.

Time schedule and reporting

The evaluation should be carried out over the period January – September 2014.

The inception report shall be presented at a workshop at an early stage of work and shall include, but not necessarily be limited to:

- The literature review
- The results from the survey of policy dialogues on gender equality in a number of Sida partner countries
- A further elaboration on the evaluation questions and criteria
- Approach and methodology, including data collection and analysis
- A description of the conceptual framework to be used in the evaluation
- Selection issues
- Further detailing on stakeholder participation
- Possible delimitations to be agreed upon with Sida
- A detailed work programme
- A budget up-date (if required)
- A draft communication plan

The inception report (including the literature review and survey) shall be written in English and shall not exceed 30 pages, excluding annexes.

Findings and conclusions from the field studies in the four countries shall be presented separately as stand-alone reports and be discussed at wrap-up meetings in each of the countries before being finalised. Each country report shall not exceed 50 pages, excluding annexes.

In addition, a main report, synthesising findings from the three countries shall be prepared. The main report shall have an emphasis on the overall findings, conclusions, lessons and recommendations and shall not exceed 30 pages, excluding annexes.

The draft reports shall also be delivered to Sida and the reference group for comments. Final draft reports for Sida's approval are to be prepared by the consultant no later than two weeks after receipt of comments.

All reports shall be written in English and adhere to the OECD/DAC Glossary of Key Terms in Evaluation and Result Based Management as well as the OECD/DAC quality standards for evaluation. Format and outline of the synthesis report shall follow the guidelines in Sida Evaluation manual "Looking Back, Moving Forward" – Annex B, format for Sida Evaluation Reports. The complete evaluation manual including annexes is retrievable from Sida's homepage.[23]

The team leader shall present the final evaluation report at a workshop in Stockholm organised by Sida.

[23] http://www.sida.se/sida/jsp/sida.jsp?d=118&a=3148&searchWords=looking

Resources

Total time input is expected not to exceed 40 person weeks. Very indicatively, this would allow for approximately 5-6 weeks for the inception phase, 6-7 weeks for the field studies per country and 6-7 weeks for the preparations of the country reports and the synthesis report and 1-2 weeks for dissemination and follow up.
The budget ceiling for this evaluation is 2 000 000 SEK.
All costs related to the evaluation, such as travel costs, assistants and interpreters must be covered by the total budget.

Evaluation Team Qualification

The evaluation team must consist of a team leader and an optional number of team members. The team must include both women and men. The evaluation team may when necessary draw on assistants including interpreters.

All team members must have:

- Adequate academic degrees and a minimum of five years of work experience in, for the assignment, relevant fields.
- Experience, knowledge and practical skills in evaluation.
- Experience and knowledge of policy dialogues.
- Experience and knowledge of gender equality.
- Very good knowledge in writing, reading and spoken English (level 2[24]).
- Communication skills.

At least one team member must have:

- Experience and knowledge of the following countries; Guatemala, DR Congo, Tanzania and Turkey.
- Very good knowledge in writing, reading and spoken Spanish (level 2).
- Very good knowledge in writing, reading and spoken French (level 2).
- Very good knowledge in writing, reading and spoken Swedish in order to access relevant Sida documentation (level 2).

The team leader must have:

- Team-leading experience (at least five assignments).
- Experience of designing and conducting large complex evaluations.
- Theoretical and practical evaluations skills, including the utilisation of quantitative and qualitative methods for data collection and analysis, report writing skills and communication skills.

[24] In line with Sida's language level definition.

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5.4 ANNEX 4: SUMMARY OF DEVELOPMENT CO-OPERATION AND POLICY DIALOGUE PRIORITIES BY COUNTRY

Table 11 Summary of Development Co-operation and Policy Dialogue Priorities by Country

Conflict and Post-conflict States			
Democratic Republic of the Congo	Low-income country, Fragile State, Conflict,	The overall objective of Swedish development co-operation with the DRC is to strengthen the conditions for sustainable peace and improved living conditions for poor people. • Peace, reconciliation and democratic governance; • Pro-poor economic development, focusing on agriculture and forestry; • Health, focusing on sexual violence and SHRH.[25]	Dialogue has the purpose of achieving greater impact for issues given priority in Swedish support and mainly within the framework of the programmes receiving support. Gender equality, women's and girls' rights and their role in development, including combating of sexual violence, shall be given particular emphasis on the basis of support currently provided. The implementation of UN resolutions 1325 and 1820 shall be central issues in the dialogue. Corruption and the implementation of the rule of law will also be stressed, as will the need for transparency regarding the illegal extraction of natural resources.
Guatemala	Lower-middle-income country	The overall objective is the creation of conditions conducive to continued peace and poverty reduction based on a rights perspective and the perspective of the poor on development. • Democratic governance and human rights, • Sustainable pro-poor growth in poor regions, • Health.[26]	A combination of financial support and political dialogue is essential if development co-operation with Guatemala is to achieve results. Dialogue takes place on: • Programme based support and other co-ordination processes, • Implementation of Paris Declaration, • Peace accords.
European Neighbourhood			
Albania	Upper-middle-income country, former centralised economy	The overarching goal is a stronger democratic state, long-term sustainable development, and improved opportunities for achieving EU membership. Sector focus on: • Democratic governance and human rights, and • Natural resources and environment.[27]	Policy dialogue was to centre on improving communication between Albanian policymakers and citizens on the subject of long-term Albanian reform commitments, and specifically mentions the need to work to further GE and participation of women in public life and community development.
Bosnia Herzegovina	Upper-middle-income country	Democratic, equitable and sustainable development as well as improved conditions for EU integration: • Democracy, human rights	For 2011-2014, policy dialogue focused on EU Accession, but also covered gender equality and women's participation in society and politics as well as the need to continually strengthen civil society and local ownership. [28]

[25] Sida (2010) Strategy for Development Co-operation with DRC.

[26] Sida (2008) Country strategy for development co-operation with Guatemala, January 2008-2012.

[27] Sida (2009) Strategy for Swedish Development Co-operationwith Albania 2009 – 2012. p. 1.

[28] Sida (2011) Strategy for development co-operationwith Bosnia and Herzegovina: January 2011 –

		and gender equality, • Market development, • Sustainable infrastructure.	
Ukraine	Lower-middle-income country	Focused on the country's integration with the European Union: • Democratic governance and human rights, and; • Natural resources and environment. [29]	The strategic dialogue issues shall focus on following up results in relation to Ukraine's undertakings towards the EU and its obligations as to international conventions within the respective sector. Integration of gender equality into the dialogue at different levels requires special efforts in the two sectors. HIV/AIDS is another area that should receive attention in the dialogue. The aim should be to increase awareness of the epidemic as a human rights issue and a potential threat to economic development in Ukraine.
Turkey	Upper-middle-income country	Overall objective is strengthened democracy that improves the prospects of membership in the EU. Focus on the sector democracy, human rights and gender equality.[30]	Three dialogue issues: • Deeper EU integration focusing on key democracy and human rights issues, including minority rights, identified within the scope of the EU accession process as major challenges for EU membership. • Gender equality and women's participation in the development of a democratic society. • Freedom of expression.
Programme Co-operation			
Bangladesh	Low-income country	• Primary education for children living in poverty, with a particular focus on girls. • Health care for people living in poverty, with a particular focus on maternal health care. • Rights for women and improved democratic governance through greater opportunities for women and men living in poverty to assess and demand quality and non-discriminatory public service delivery. • Improved urban environment for the benefit of people living in poverty.[31]	Overall objective for dialogue: • Clear direction of environment and climate perspective in the next PRSP at the conditions of poor women and men, • Greater transparency and reduced corruption in the Bangladeshi public administration. Dialogue objectives for co-operation areas: • Primary education: Increased quality of education with particular focus on including girls. • Health care: Increased outreach of services to include the most vulnerable people, focusing particularly on SHRH. • Women's rights and democratic governance: strengthened rights for ethnic minorities and other vulnerable groups with particular focus on women.
Cambodia	Low-income country	Improved conditions for sustainable and democratic development with increased respect for human rights. • Democratic development and human rights,	Dialogue served to promote democratic processes and accountability, e.g. through democratic elections, respect for human rights, gender equality and anti-corruption measures. In the dialogue Sweden aimed to pursue issues such as improved aid effectiveness, particularly with regard to the need for an increased

December 2014.

[29] Sida (2009), Strategy for development co-operationwith Ukraine. January 2009-December 2013.

[30] Sida (2010), Strategy for development co-operationwith Turkey. January 2010-December 2013.

[31] Government of Sweden (2008b), Strategy for Development Co-operation with Bangladesh, April 2009-December 2012, Stockholm, p. 2.

		• Education, • Climate. Gender equality and environmentally sustainable development being pursued as thematic issues across the co-operation.[32]	focus on results and greater transparency.
Colombia	Upper-middle-income country	Main areas for co-operation: Peace and Security, Human rights and democratic governance.[33]	Strategic issues for dialogue are A negotiated peace process with a broad societal participation, Respect for human rights, and equality, and Promote the political, economic and social exclusion is reduced for marginalised Colombians
Ethiopia	Low-income country	Main areas for co-operation: Democratic development and respect for human rights, Social development (education, health, and culture), Economic growth.[34]	Development co-operation should be used as a platform for continued political dialogue: • Democratisation and governance, • Gender equality, • HIV/Aids, • Land tenure and usufruct, • Favourable climate for the private sector.35
Rwanda	Low-income country	Democracy and human rights, Environment and natural resources, Market development. Strengthen domestic research capacity. Support to the public sector will be supplemented with support to civil society.[36]	Dialogue focus on democracy and respect for human rights, as well as reduced poverty and reducing the extreme income gaps as prerequisites for sustainable peace and reconciliation. Moreover, the importance of transparency, freedom of expression and pluralism for increased democracy and their link to sustainable, peaceful development in the region will be stressed in particular. Gender equality issues will also be highlighted in the overarching dialogue. Sweden will also hold a dialogue on the importance of fighting corruption at all levels.

[32] Sida (2013) Strategy for Development Co-operation with Cambodia, January 2012 – December 2013.
[33] Sida (2009) Strategy for Development Co-operation with Colombia, January 2009 – December 2013.
[34] Sida (2007) Strategy for Development Co-operation with Ethiopia January 2003 – December 2007.
[35] Sida (2003) Country strategy for development co-operation with Ethiopia, January 2003-December 2007.
[36] Sida. (2010) Strategy for Development Co-operation with Rwanda.

5.5 ANNEX 5: SUMMARY OF DEVELOPMENT RESULTS IN CASE STUDY COUNTRIES

Table 12 Results Related to Changes in Knowledge

Indicator	*Results to which Sweden Contributed*		
	Guatemala	Albania	DRC
I-511 Policy dialogue has spearheaded research, surveys and knowledge products on gender equality, women's human rights and the situation of diverse male and female groups among state and non-state actors	Sweden provided support to the National Institute of Statistics to help the Institute develop a set of sex-disaggregated indicators they will be using to track and document GBV as well as other key indicators that can be used to support the integration of gender equality in government policy and programme development. This initiative was also complementary to the work Sweden is doing to reduce impunity and improve women's access to services and justice related to GBV and sexual assault. Spain has subsequently started funding this initiative as the lead donor.	Sweden provided financial support for the following publications and research: The regular publication of Women and Men in Albania, issued by the Albanian statistics authority (INSTAT) presents sex-disaggregated statistics and related analyses pertaining to a range of "social areas". Sweden also provided technical support for this work.[37] UNDP in co-operation with INSTAT carried out a national survey on domestic violence. The overall objective of the project was to provide data to for the development and improvement of policies and action plans, particularly in relation to violence against women.[38] A report on The Albania tax system and its effects on gender equality by the General Tax Department of Albania. The report makes a case for integrating a gender perspective in the analysis of taxation to discover discriminatory provisions in the tax laws and its overall effects on gender equality. [39] Albanian women's organisations supported by Sida through KtK conducted a survey/analysis of the implementation of protection orders and immediate protections orders (related to cases of domestic violence) issued by the Albanian Court. The survey/analysis covers seven out of 12 regions of the	Sweden has supported funding for the documentation of human rights abuses, participatory-action research, and the Sida DRC Gender Profiles of 2009 and 2014. There is limited documentation that extends to reporting gender-related results of programmes, although there have been some improvements over time through dialogue. -Sex-disaggregated data now available in the microfinance sector

[37] INSTAT (2013) Women and Men in Albania.

[38] INSTAT (2013) Domestic Violence in Albania. National Population-based Survey 2013.

[39] Indevelop (2011) The Albania tax system and its effects on gender equality.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
		country and generated data on the situation of victims of domestic violence, how fast cases are processed, etc.	
I-512 Policy dialogue has contributed to the dissemination of knowledge on gender equality, women's human rights and the situation of diverse male and female groups among state and non-state actors	Sweden, in collaboration with Canada and Spain, played a key role in promoting the need for special attention for victims of GBV by the Ministry of the Public and in tribunals and among justices, which has led to a change in how GBV is reported. CSO and international NGO partners confirmed that increased awareness of human rights among diverse groups was the most significant change generated by the related policy dialogue processes.	CSOs interviewed argued that the policy dialogue in which they have participated has helped to create greater awareness about women's rights and gender issues among Albanian women as well as men, including those working as politicians and government officials.	
I-513 State and non-state actors demonstrate increased knowledge of gender equality issues related to specific sectors in policy dialogue discussions and raise related issues in policy dialogue	Embassy funded two studies on the sexual exploitation of children that has increased understanding of this issue among state actors & facilitated related policy dialogue.		
I-514 Training on gender equality issues within policy dialogue context provided to state and non-state actors	A CSO working on fiscal policy reform has used Swedish funding to educate its staff about feminist research methodologies and the gender related issues to better inform its policy dialogue on this issue.	KtK partner organisations carry out Training & other forms of awareness raising on GE issues. KtK also organises joint capacity building workshops for its partners, which, in 2013, included specific training on communication for more effective policy advocacy and networking. The OSCE-led "Women in Governance" project also held a series of trainings and coaching sessions on advocacy, public speaking, message development and media relations for women candidates to the 2009 local elections.[40] The co-operation with the General Tax Department provided training to a team of staff members responsible for development of the	There has been a concentration of increased knowledge through training on gender equality and SGBV issues in the justice sector, defence of human rights, UN Security Council Resolution 1325 and women's political participation in eastern DRC as a result of separate but complementary activities in various projects funded by the Embassy. Extensive training has also been carried out in the health sector, especially around SRH (e.g. emergency obstetric care), and in the humanitarian sector regarding application of the Gender Marker.

[40] OSCE (2012) Enhancing Women's Role in Governance. Final Report.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
		Department's first gender policy. UN Women (with financial support from Sweden) also provided support to strengthen the capacity of the Directorate of Social Inclusion and Gender Equality in the Ministry of Social Welfare and Youth.	

Table 13 Changes in Policies, Processes and Institutional Mechanisms Affecting Gender Equality Linked to Policy Dialogue

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
I-521 Instances /examples where policy dialogue has contributed to attitudinal change and acceptance of the importance of gender equality issues and to getting gender equality issues on to the political agenda among different stakeholders, including Sida staff	The Embassy's **2008 – 2012 Strategy** indicated that Sweden's policy dialogue work contributed to firmer government policies on gender equality and anti- discrimination Embassy staff felt their work had contributed a great deal to raising violence issues in the national agenda and that their ambassador was also able to motivate other donors to hold forum on GBV. The key message Sweden has been delivering is that GBV is not a private family affair, but actually the responsibility of the state. Embassy staff interviewed also indicated that Sweden, in collaboration with Canada and Spain, had played a key role in promoting the need for special attention for victims of GBV by the Ministry of the Public and in tribunals and among justices.		Diffuse results: Congolese decision-makers engaged in informal policy dialogue initiate discussions on gender equality in subsequent discussions. National-level mainstream dialogue mechanisms are willing to incorporate pertinent messages on gender equality in communiqués, etc. Women's groups and leaders engage in policy dialogue at the community level and at the Great Lakes regional level
I-522 Policy dialogue has affected the stated commitment of government and state actors to gender equality issues		The embassy's report[41] on its WEE pilot project emphasised that the project had a positive effect on the commitment of the Ministry of Labour in terms of the priority given to WEE issues	In the spotlight around the June 2014 "Global Summit to *End Sexual Violence in Conflict*" in London, the GoDRC made commitments to bring about change.
I-523 Endorsement, signing and/or ratification of international or regional	Embassy staff (confirmed by CSO, international NGO and GoG interviews) also indicated that the embassy's work had	During the period evaluated, Albania signed (in 2011) and ratified (in 2013) the Council of Europe Convention on	During the period evaluated, the GoDRC signed or ratified several regional and international

[41] Swedish embassy in ALB. Experience of integrating WEE in the country portfolio. PowerPoint presentation.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
declarations/agreements related to gender equality	contributed to the endorsement of international and regional declarations related to gender equality – this was done by Sweden together with civil society and other international actors, as they all pushed for endorsement of the Council of Women Ministers of Central America. The 2007 Country Progress report also noted that Sweden was also able to contribute to the creation of the International Commission against Impunity in Guatemala[42] (I-523), a significant step forward in increasing women's access to justice.	Preventing and Combating Violence against Women and Domestic Violence (aka the Istanbul Convention). The ratification process was supported by UN Women with Swedish funds, and involved policy dialogue in the form of several roundtables with state and non-state actors. A mapping was made of existing services to victims of domestic violence and the cost of expanding such services up to the standards required by the Convention	treaties regarding gender equality and women's rights, and/or launched national plans or strategies to respond (I-523). These include two laws on sexual violence (2006), the child protection law (2009), and the ratification of the African Union's Maputo protocol on the rights of women (2011). Changes to legislation and controls related to microfinance institutions has made this sector more transparent and inclusive, and accessible to women, where rural women in particular access microcredit for agriculture (I-523).
I-524 Policy dialogue has contributed to procedural change, e.g. opening up processes whereby policy decisions on gender equality are made; adoption of related gender mainstreaming processes	Sida's 2007 Country Report noted that the embassy assisted in the relatively successful decentralization of the electoral process Embassy staff also indicated that Sweden, in collaboration with Canada and Spain, played a key role in promoting the need for special attention for victims of GBV by the Ministry of the Public and in tribunals and among justices. This was confirmed by multilateral partners, other donors and CSOs interviewed The embassy has also been working with the military to discuss how they could reduce sexual violence against women internally. This is at the initial stages. The revision and reformulation of the 15 year old National Policy of Promotion and Development of Guatemalan Women also received inputs from the Swedish embassy, particularly to facilitate the participation of women in local development councils (known as COCODES and COMUDES).[43] Several international NGOs interviewed	With Sida support, UN Women has promoted gender-responsive budgeting through pilot initiatives at the local level, and contributed to the adoption of a decision of the Council of Ministers on "Gender Mainstreaming in the Medium-Term Budgetary Programme 2013-2015". This was the first decision of this kind aimed at institutionalizing the gender budgeting practice in Albania	In July 2014, a Special Advisor to the Head of State on the struggle around sexual violence and the recruitment of children by armed forces was appointed.

[42] Sida (2007) Sida Country Report 2007 p.13.

[43] Sida (2007) Sida Country Report 2007, p. 6 & p. 17.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
	the success of these particular initiatives and indicated that this form of local level policy dialogue has been particularly effective.		
I-525 Policy dialogue has led to inclusion of relevant gender analysis and clauses and enforcement of existing policies with regard to gender equality	Embassy, government and CSO stakeholders all indicated that there has been increased enforcement of women's human rights, particularly with regard to GBV and women's political participation and the Swedish policy dialogue has contributed significantly to these processes. The Embassy's **2008 – 2012 Strategy indicated that there is now m**ore rigorous application of the Integrated Protection of Children and Adolescents Act (also linked to Swedish policy dialogue). Swedish financial and technical support for improved national statistics is enabling more accurate targeting of national measures to promote economic and social development (and better informed policy dialogue) Embassy staff and CSOs, international NGOs and the GoG also indicated that more information is available for advocacy purposes and that this has also contributed to policy dialogue efforts by providing a basis for evidenced based advocacy and dialogue.	Swedish support has contributed to the following changes in policies and laws[44]: The Law on Registration of Immovable Properties was amended in 2012 with technical assistance from UN Women and financial support from Sida. Together with the Law on Notary Services, the law substantially changes the entire property registration process and reinforces a procedure whereby property should be registered in the names of both spouses in a household. Based on an assessment supported by Sweden, additional recommendations have been provided on how to bring the Family Code and Civil Code in line with this provision. With Sida funding through UNDP and UN – Women and with the efforts of Albanian CSOs supported through a Swedish framework organisation (Civil Rights Defenders), the Ministry of Justice and the Parliament prepared an amendment to the Criminal Code of Albania for it to become a more effective tool of addressing gender-based violence. It now recognises domestic violence of women and children, stalking and marital rape as criminal offences. The amendments also strengthened sanctions for perpetrators of gender-based and domestic violence. The network of Albanian women's organisations supported through KtK participated in the consultation process on the amendment of the Law on Measures Against	In September 2014, the Congolese army launched the first action plan to tackle sexual violence.

[44] See *Albania National Report on the Implementation of the Beijing+20 Platform for Action* for further details.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
		Violence in Family Relations (aka the Domestic Violence Law). The law, which is essentially a product of civil society, introduced the system of protection and immediate protection orders, a national shelter for victims, and a co-ordinated referral system at the local level. The amendment also guarantees free legal aid for victims of domestic violence. UNDP has provided technical assistance for the preparation of sub-legal acts, including with support from Sida. Sida has supported multiple actors, including UN Women, OSCE and Albanian CSOs in their lobbying and dialogue efforts to improve the Electoral Code. In 2008, a revision of the Electoral Code introduced a gender quota requiring political parties to have at least 30% women on their lists of candidates for Parliament. These efforts have aimed at introducing stronger sanctions for political parties not complying with this require-ment. Although the law was amended in 2012, several provisions are still considered too vague & sanctions too soft.	
I-526 # and quality of gender-specific or sector-focused policies that promote increased gender equality developed, adopted or implemented attributed to their discussion within policy dialogue fora by the actors involved	At a policy level, the mapping survey response noted that Swedish embassy policy dialogue had contributed to the adoption or revision of the following: Law against femicide and other forms of violence against women; Law against sexual violence, exploitation and human trafficking; National Plan for the Prevention and Eradication of Family Violence and Violence against Women 2004-2014: National Policy for the Promotion and Integral Development of Women and Equal Opportunities Plan 2008-2023.	During 2008 and 2009, with financial support from Sida through another Swedish framework organisation (CRD), an Albanian CSO partner actively participated in drafting of country's first Law on Protection from Discrimination. Adopted in 2010, the law is considered a comprehensive tool for addressing discrimination on various grounds, including through the establishment of a Commissioner for Protection against Discrimination.	A National Action Strategy to Combat Sexual and Gender-Based Violence was passed in (2009) and a National Action Plan for UN SCR 1325 in (2013). Over the period of study, the Ministry of Gender has proposed or supported several bills, including the parity law (2012), changes to the Family Code. Of these various policies and plans, the Embassy has been particularly involved in following up on the family code.
I-541 Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life related to the adoption, revision or	The 2007 Country Report also noted that Congress approved the UN-sponsored International Commission on Impunity in Guatemala, a process to which the Embassy of Sweden contributed and which is	Long-term support to civil society organisations and to the UN System in Albania, Sida has contributed to the adoption of new legislation that have advanced prospects for Albanian citizens, including	

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
implementation of policies arising from policy dialogue processes in which Sida has participated	contributing to increasing women's access to legal rights. The 2008 -2012 Strategy indicated that improved conditions to conduct inquiries on past human rights violations were made possible due to the restoration of the national police archives (I-541), a complementary action related policy dialogue work on GBV. Two embassy staff and two CSO interviews observed that related policy dialogue has led to rural and indigenous women's income increasing along with their ability for self-management.	women, to claim and enjoy their human rights	
I-542 Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life within specific development co-operation sectors and programmes due to related policy dialogue processes		The perception is also that Sida-supported programmes, such as support for forestry, tax administration and the support through UN Women on property rights, have increased women's access to related resources, opportunities and benefits.	Diverse programmes funded by SE/Sida have contributed to women's and men's exercise of their rights through access to health care, microcredit or community development; however, because of limited access to data, for the purposes of this evaluation they were not measurable and evidence of these changes remains anecdotal. For health care in particular, the implementation of programmes and services related to women's reproductive health, as well as for survivors of SGBV, has resulted in a tangible and quantifiable amount of women being able to exercise their related rights.
I-543 Increase in representation of diverse under-represented female groups in government, state agencies and elected bodies due to policy adoption, changes or implementation	There has been increased participation of women in policy dialogue discussions – Sida played a lead role in helping make this happen, particularly at the municipal level There was increased participation of women in the electoral process, particularly during the 2011 elections. Three CSOs and media representatives indicated that these changes were quite significant and stated that the embassy staff's participation and Sweden's contributions in this process were a key factor in this increase. There were multi-faceted contributions that included policy	A quota system was introduced in the Electoral Code of 2008, which has resulted in a relatively significant increase of women MPs, from 7% in 2005 to 20% in 2013, but has not yet reached the 30% target nationally and at the local level the situation has not changed much. One international organisation supported by Sida in the environment and natural resource management sector has reportedly contributed to an increase of female representation in the boards of local users associations for the management of forests and	One Sida-funded project contributed to increasing the skills of women candidates for office, and some of the women elected had participated in their activities.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
	dialogue which helped advance the workings of decentralised decision-making bodies that included special efforts to include women and indigenous peoples.	pasture land. According to the interviews, representation of women in these boards has gradually increased from around 10% to 30 % (in the project target area). The increase was attributed to the awareness raising, advocacy and lobbying carried out as part of the project.	
I-544 Evidence that diverse civil society organisations are better able to provide services to and/or act as advocates for equal rights for women and men and more vulnerable groups of women and men		Sida contributed to the strengthening of the network of women's organisations (AWEN) that, since its creation in 2009, has actively participated in consultation processes on various legislative initiatives and provided inputs to national reports (e.g. CEDAW reports) and their input into policy dialogue. Individual women's organisations that are part of this network have also participated in various consultations and dialogue processes at the local level, such as in the context of community co-ordinated response to domestic violence. Other Albanian CSOs supported through Swedish framework organisations have strengthened their capacities in terms of advocacy and lobbying, according to annual progress reports.	
I-545 Evidence that public services/programmes related to human rights strengthened or improved following related policy dialogue	CSOs interviewed made multiple references to the contribution that Sweden's policy dialogue has made with regard to: Reduced impunity for sexual and intra-familiar violence. Increased access of indigenous women and victims of sexual violence to justice. GoG officials also noted that health reforms supported by the embassy's policy dialogue processes have contributed to increased attention for women with regard to public health services plus an increased role in decision-making related to health services at the community level. The Ministry of Health also noted that there is now a process in place for reporting teenage pregnancy and it is possible for pregnant teenagers to continue studying and be protected from their abusers	Many public services and programmes funded by Sweden have contributed to the promotion or defense of human rights through improved access to health care (SB and maternal/infant health) and justice, including through mobile clinics, as well as human rights, clean water and sanitation, and community-based economic development. These changes were generally initiated with policy dialogue discussions.	

Table 14 Changes in Development Outcomes Related to Gender Equality

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
I-541 Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life related to the adoption, revision or implementation of policies arising from policy dialogue processes in which Sida has participated	Congress approved the UN-sponsored International Commission on Impunity in Guatemala, a process to which the Embassy of Sweden contributed and which is contributing to increasing women's access to legal rights. Improved conditions to conduct inquiries on past human rights violations were made possible due to the restoration of the national police archives, a complementary action related policy dialogue work on GBV. -Two embassy staff and two CSOs observed that related policy dialogue has led to rural and indigenous women's income increasing along with their ability for self-management.	Long-term support to civil society organisations and to the UN System in Albania, Sida has contributed to adoption of new legislation that have advanced prospects for Albanian citizens, including women, to claim and enjoy their human rights	
I-542 Evidence of changes in women and men's access to/enjoyment of rights, status and/or conditions of life within specific development co-operation sectors and programmes due to related policy dialogue processes		Sida-supported programmes, such as support for forestry, tax administration and the support through UN Women on property rights, have increased women's access to related resources, opportunities and benefits.	Diverse programmes have contributed to women's and men's ability to exercise their rights through access to health care, microcredit or community development. Limited access to data, for the purposes of this evaluation meant the extent of this increased access was not measurable and evidence of these changes remains anecdotal. For health care in particular, the implementation of programmes and services related to women's reproductive health, as well as for survivors of SGBV, has resulted in a tangible and quantifiable amount of women being able to exercise their related rights.
I-543 Increase in representation of diverse under-represented female groups in government, state agencies and elected bodies due to policy adoption, changes or implementation	There has been increased participation of women in policy dialogue discussions – Sida played a lead role in helping make this happen, particularly at the municipal level	A quota system was introduced in the Electoral Code of 2008, which resulted in a significant increase of women MPs, from 7% in 2005 to 20% in 2013, but has not yet reached the 30% target	One Sida-funded project contributed to increasing the skills of women candidates for office, and some of the women elected participated in related activities.

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
	There was increased participation of women in the electoral process, particularly during the 2011 elections. 3 CSOs and 2 media representatives noted the embassy staff's participation and Sweden's contributions in this process as a key factor in this increase. There were multi-faceted contributions that included policy dialogue that helped advance the workings of decentralised decision-making bodies that included special efforts to include women and indigenous peoples.	nationally and at the local level the situation has not changed much. One IO supported by Sida in the environment and natural resource management sector reportedly contributed to an increase of female representation in the boards of local users associations for the management of forests and pasture land. According to the interviews, representation of women in these boards has gradually increased from around 10% to 30 % (in the project target area). The increase was attributed to the awareness raising, advocacy and lobbying carried out as part of the project.	
I-544 Evidence that diverse civil society organisations are better able to provide services to and/or act as advocates for equal rights for women and men and more vulnerable groups of women and men		Sida contributed to the strengthening of the network of women's organisations (AWEN) that, since its creation in 2009, has actively participated in consultation processes on various legislative initiatives and provided inputs to national reports (e.g. CEDAW reports) and their input into policy dialogue. Individual women's organisations that are part of this network have also participated in various consultations and dialogue processes at the local level, such as in the context of community co-ordinated response to domestic violence. Other Albanian CSOs supported through Swedish framework organisations have strengthened their capacities in terms of advocacy and lobbying, according to annual progress reports.	
I-545 Evidence that public services/programmes related to human rights strengthened or improved following related policy dialogue	CSOs interviewed made multiple references to the contribution that Sweden's policy dialogue has made with regard to: Reduced impunity for sexual and intra-familiar violence. Increased access of indigenous women and victims of sexual violence to justice. Health reforms supported by	Many public services and programmes funded by Sweden have contributed to promotion or defense of human rights through improved access to health care (maternal/infant health) and justice, including through mobile clinics, as well as human rights, clean water and sanitation, and community-based economic	

Indicator	Results to which Sweden Contributed		
	Guatemala	Albania	DRC
	the embassy's policy dialogue processes have contributed to increased attention for women with regard to public health services plus an increased role in decision-making related to health services at the community level.	development. These changes were generally initiated with policy dialogue discussions.	

5.6 ANNEX 6: SEMI-STRUCTURED INTERVIEW

Name:

Former embassy:

Role: ____ Gender Focal Point ____ Counsellor

- What years did you work as the Gender Focal Point/Counsellor in xxx country?
- What sectors were you responsible for?
- How would you define or describe policy dialogue? (EQ1)
- What were the main actors (state and non-state) with which Sida interacted through policy dialogue? (EQ3)
- How often would any of these actors initiate discussions about gender equality issues when engaged in policy dialogue in which you/Sida participated? (EQ2)
- What were the main roles you and your colleagues at Sida/the embassy played with regard to policy dialogue in this country?
- Did you ever receive any training related to policy dialogue processes? If so, in what areas?
- Are there any areas where you feel you needed additional training to be able to conduct policy dialogue effectively, particularly with regard to integrating gender equality?
- What do you think was the main purpose of the policy dialogue in which Sida/the embassy engaged in this country? (EQ4)
- What would you define as a successful policy dialogue? (EQ2)
- Which strategic approaches did you/Sida/the embassy use when engaging in policy dialogue in this country? (EQ4)
- In which policy dialogue contexts did you/Sida/the embassy raise gender equality as an issue? How often? (EQ3)
- Did you find that policy dialogue that integrated gender equality took place most often in formal or informal settings? Which approach was more effective? (EQ3)
- Which strategic approaches to integrating gender equality in policy dialogue did you/Sida/the embassy use? (EQ4, EQ7)

- Which of these approaches did you find to be the most effective? (EQ4, EQ7)
- Which ones (if any) did not work that well? (EQ4, EQ7)
- Did Sida/the embassy ever use conditionality or its funding capacity/strength to influence the integration of gender equality in policy dialogue and related policy implementation? (EQ9)
- What strategies other than policy dialogue did Sida/the embassy use to promote gender equality? (EQ6)
- Which approach do you think was the most effective way to promote gender equality – the other strategies or policy dialogue? (EQ6)
- Was policy dialogue used to complement the promotion of gender equality in programming? If so, how? (EQ6)
- Did you observe any changes in gender equality as a result of policy dialogue? If so, what were these? (EQ5)

Increased knowledge
Changes in attitudes, commitment or practices
Changes in access to or provision of human rights
Adoption of or revision of new/existing policies to integrate gender equality
Resource allocation
Etc.

- What factors do you think enabled or constrained the integration of gender equality in policy dialogue in this country? (EQ8)
- Did you note any lessons learned from the process of integrating gender equality into policy dialogue?

Semi-Structured Interview Guide: Field study interviews: State Actors

Name:

Government Level:

____ National	**____ Executive**
____ Sub-national	**____ Judiciary**
____ Local	**____ Legislative**

- In what way are you or your organisation engaged in policy dialogue?
- How would you define or describe policy dialogue? (EQ1)
- In what way(s) do you interact with Sida in policy dialogue contexts? (EQ3)
- With which other organisations do you engage in policy dialogue? (EQ3)
- How often do any of these other organisations initiate discussions about gender equality issues when engaged in policy dialogue? (EQ2)
- Does your organisation have any formal mechanisms in place for mainstreaming gender within policy dialogue? (EQ2)
- Did you ever receive any training funded by Sida related to policy dialogue processes? If so, in what areas?
- What would you define as a successful policy dialogue? (EQ2)
- What do you think is the main purpose of the policy dialogue in which your organisation is engaged? (EQ4)
- Which strategic approaches does your organisation use when engaging in policy dialogue? (EQ4)
- In which policy dialogue contexts (if any) has your organisation raised gender equality as an issue? How often does this occur? (EQ3)
- Do you find that policy dialogue that integrates gender equality takes place most often in formal or informal settings? Which approach do you think is more effective? (EQ3)
- Which strategic approaches to integrating gender equality in policy dialogue do you or your organisation use? (EQ4, EQ7)
- Which of these approaches did you find to be the most effective? (EQ4, EQ7)

- Which ones (if any) did not work that well? (EQ4, EQ7)

- Has Sida ever used conditionality or its funding strength/capacity to influence the integration of gender into policy dialogue? (EQ9)

- What strategies other than policy dialogue does your organisation use to promote gender equality? (EQ6)

- What do you think is the most effective way to promote gender equality – the other strategies or policy dialogue? (EQ6)

- How has or can policy dialogue be used to complement the integration of gender equality in government services and programmes? (EQ6)

- Have you observed any changes in gender equality as a result of policy dialogue? If so, what were these? (EQ5)

Increased knowledge
Changes in attitudes, commitment or practices
Changes in access to or provision of human rights
Adoption of or revision of new/existing policies to integrate gender equality
Resource allocation
Etc.

- What factors do you think enable or constrain the integration of gender equality in policy dialogue in this country? (EQ8)

- Have you noted any lessons learned from the process of integrating gender equality into policy dialogue?

Semi-Structured Interview Guide: Field study interviews: Non-state Actors

Name:

Civil Society Organisation: ____ Media ____ Academic Institution ___Private Sector

- In what way are you or your organisation engaged in policy dialogue?
- How would you define or describe policy dialogue? (EQ1)
- In what way(s) do you interact with Sida in policy dialogue contexts? (EQ3)
- With which other organisations do you engage in policy dialogue? (EQ3)
- How often do any of these other organisations initiate discussions about gender equality issues when engaged in policy dialogue? (EQ2)
- Does your organisation have any formal mechanisms in place for mainstreaming gender within policy dialogue? (EQ2)
- Did you ever receive any training funded by Sida related to policy dialogue processes? If so, in what areas?
- Have you received any other kind of support from Sida that has enhanced your organisation's ability/capacity to integrate gender equality in policy dialogue? If so, what form did this support take?
- What would you define as a successful policy dialogue? (EQ2)
- What do you think is the main purpose of the policy dialogue in which your organisation is engaged? (EQ4)
- In which policy dialogue contexts (if any) have you or your organisation raised gender equality as an issue? How often does this occur? (EQ3)
- Do you find that policy dialogue that integrates gender equality takes place most often in formal or informal settings? Which approach do you think is more effective? (EQ3)
- Which strategic approaches to integrating gender equality in policy dialogue do you or your organisation use? (EQ4, EQ7)
- Which of these approaches did you find to be the most effective? (EQ4, EQ7)

- Which ones (if any) did not work that well? (EQ4, EQ7)

- Has Sida ever used conditionality or its funding strength/capacity to influence the integration of gender into policy dialogue? (EQ9)

- What strategies other than policy dialogue does your organisation use to promote gender equality? (EQ6)

- What do you think is the most effective way to promote gender equality – the other strategies or policy dialogue? (EQ6)

- How has or can policy dialogue be used to complement the integration of gender equality in government services and programmes? (EQ6)

- Have you observed any changes in gender equality as a result of policy dialogue? If so, what were these? (EQ5)

Increased knowledge
Changes in attitudes, commitment or practices
Changes in access to or provision of human rights
Adoption of or revision of new/existing policies to integrate gender equality
Resource allocation

- What factors do you think enable or constrain the integration of gender equality in policy dialogue in this country? (EQ8)

- Have you noted any lessons learned from the process of integrating gender equality into policy dialogue?

Semi-Structured Interview Guide: Field study interviews Other Donors or Multilateral Organisations

Name:

Donor: ____ Multilateral Organisation___

- In what way is your organisation engaged in policy dialogue?
- How would you define or describe policy dialogue? (EQ1)
- In what way(s) do you interact with Sida in policy dialogue contexts? (EQ3)
- With which other organisations do you engage in policy dialogue? (EQ3)
- How often do any of these other organisations initiate discussions about gender equality issues when engaged in policy dialogue? (EQ2)
- Does your organisation have any formal mechanisms in place for mainstreaming gender within policy dialogue? (EQ2)
- What would you define as a successful policy dialogue? (EQ2)
- What do you think is the main purpose of the policy dialogue in which your organisation is engaged? (EQ4)
- In which policy dialogue contexts (if any) have you or your organisation raised gender equality as an issue? How often does this occur? (EQ3)
- Does your organisation co-ordinate or collaborate with Sida on strategies to raise gender equality as an issue in policy dialogue? If so, in what ways? (EQ3)
- Do you find that policy dialogue that integrates gender equality takes place most often in formal or informal settings? Which approach do you think is more effective? (EQ3)
- Which strategic approaches to integrating gender equality in policy dialogue does your organisation use? (EQ4, EQ7)
- Which of these approaches did you find to be the most effective? (EQ4, EQ7)
- Which ones (if any) did not work that well? (EQ4, EQ7)

- Has your organization or Sida ever used conditionality or its funding strength/capacity to influence the integration of gender into policy dialogue? (EQ9)

- What strategies other than policy dialogue does your organisation use to promote gender equality? (EQ6)

- What do you think is the most effective way to promote gender equality – the other strategies or policy dialogue? (EQ6)

- How has or can policy dialogue be used to complement the integration of gender equality in government services and programmes? (EQ6)

- Have you observed any changes in gender equality as a result of policy dialogue? If so, what were these? (EQ5)

Increased knowledge
Changes in attitudes, commitment or practices
Changes in access to or provision of human rights
Adoption of or revision of new/existing policies to integrate gender equality
Resource allocation

- What factors do you think enable or constrain the integration of gender equality in policy dialogue in this country? (EQ8)

- Have you noted any lessons learned from the process of integrating gender equality into policy dialogue?

Semi-Structured Interview Guide: Field study interviews: Sida/Embassy Staff

Name:

Sector:

Years with this embassy:

- In what ways is Sida/the embassy engaged in policy dialogue?
- With which organisations does Sida/the embassy engage in policy dialogue? (EQ3)
- Does Sida/the embassy have any formal mechanisms in place for mainstreaming gender within policy dialogue? If so, what are these? (EQ2)
- Can you give us examples of successful policy dialogue in which Sida has been involved in this country? What made these successful? (EQ2)
- What do you think is the main purpose of the policy dialogue in Sida/the embassy has been engaged? (EQ4)
- In which policy dialogue contexts/sectors do you think it is easiest to raised gender equality as an issue? Where is it the most difficult? Why? (EQ3)
- Does Sida collaborate with any other donors or multilateral organisations on strategies to raise gender equality as an issue in policy dialogue? If so, in what ways? (EQ3)
- Do you think it is or would be a useful exercise to document informal policy dialogue discussions systematically?
- If so, how could Sida make use of this documentation to promote increased integration of gender equality into policy dialogue? (EQ3)
- What, in your opinion is the most effective way to integrate gender equality into policy dialogue? (EQ4, EQ7)
- What kinds of support has Sida given to state and non-state actors to strengthen their capacity to integrate gender in policy dialogue? (EQ4, EQ7)
- Which of these support strategies has proven to be the most effective? (EQ4, EQ7)

- Can you give us an example of what makes this most effective in this context? (EQ4, EQ7)

- Has Sida ever used conditionality or its funding strength/capacity to influence the integration of gender into policy dialogue? Do you think this is an effective strategy? (EQ9)

- What strategies other than policy dialogue does Sida use to promote gender equality? (EQ6)

- What do you think is the most effective way to promote gender equality – the other strategies or policy dialogue? (EQ6)

- How has or can policy dialogue be used to complement the integration of gender equality in government services and programmes? (EQ6)

- Where have you seen the most changes with regard to gender equality as a result of policy dialogue? Can you tell us how you think the policy dialogue process contributed to these changes? (EQ5)

For example:
- Increased knowledge among diverse actors
- Changes in attitudes, commitment or practices
- Changes in access to or provision of human rights
- Adoption of or revision of new/existing policies to integrate gender equality
- Increased resource allocation for gender equality-related actions or policies

- Have you worked on any projects that use policy dialogue as an intervention strategy? If so, did these explicitly integrate gender equality as an issue in the policy dialogue process and how? (EQ4, EQ8)

- For projects that used policy dialogue as an intervention strategy but did not explicitly integrate gender equality as an issue in this process, could you tell us why you think this issue was not raised? (EQ8)

- What could Sida to help create a more enabling environment for the integration of gender equality in policy dialogue in this country? (EQ8)

- Have you noted any lessons learned from the process of integrating gender equality into policy dialogue?

5.7 ANNEX 7: DOCUMENT REVIEW FORM

Name/Type and Year of Document	*Evidence or Description*
Indicator/Theme	
Indicates purpose of policy dialogue (if yes, please describe (EQ1)	*Yes, No, NA**
Includes reference to promotion of gender equality (main focus or integrated into sectoral discussion as one component) (EQ1)	*Yes, No, NA*
Includes reference to results of policy dialogue with regard to gender equality (if yes, please describe what type of results) (EQ2, EQ5)	*Yes, No, NA*
Refers to mechanisms that support the integration of gender equality in policy dialogue (if yes, please describe briefly) (EQ2)	*Yes, No, NA*
Indicates which actors are involved in the policy dialogue (if yes, please note which actors) (EQ3)	*Yes, No, NA*
Indicates frequency of this type of policy dialogue (if yes, please note frequency) (EQ3)	Yes, No, NA
Indicates whether the policy dialogue was formal or informal (EQ3)	Yes, No, NA
Indicates what kind of strategy was used in the policy dialogue to integrate gender equality (if yes, please describe) (EQ4)	Yes, No, NA
Indicates changes in knowledge, attitudes or practices related to gender equality (EQ5)	Yes, No, NA
Indicates resources allocated to support integration of GE in policy dialogue (EQ5)	Yes, No, NA
Discusses strengths and/or weaknesses of a particular policy dialogue approach with regard to GE integration (EQ7)	Yes, No, NA
Demonstrates adaptability of policy dialogue approaches to changes in political and cultural context (EQ7)	Yes, No, NA
Shows evidence of strengthened capacity of diverse actors to participate effectively in policy dialogue that either focuses on or integrates gender equality in both development and conflict-affected settings/contexts	Yes, No, NA
Discusses the enabling and constraining factors for integrating GE into policy dialogue (EQ8)	Yes, No, NA
Evidence of power imbalances between Sida and other actors (EQ8)	Yes, No, NA

*NA = not applicable

5.8 ANNEX 8: SIDA EMBASSY STAFF SURVEY

1 Introduction

The survey to Sida staff in different case study countries where Sida has offices in the framework of the *Evaluation of Policy Dialogue as an instrument in Swedish Development Cooperation– the case of Gender Equality,* was carried out in April and May 2014. It was implemented by means of a web-based questionnaire, as a tool helping to map policy dialogues processes both in general and with regards to gender equality.
Out of 11 Sida staff in case study countries contacted, 11 completed the survey and their answers are integrated in the subsequent analysis.

Table 15 Overview of Sida case study countries

Country	Response to survey
Albania	Completed
Bangladesh	Completed
Bosnia	Completed
Colombia	Completed
DR Congo	Completed
Ethiopia	Completed
Guatemala	Completed
Cambodia	Completed
Rwanda	Completed
Turkey	Completed
Ukraine	Completed

The questionnaire consisted of an introductory section and seven sections with questions on the following subjects:

- Definition of Policy Dialogue,
- Identification of actors involved in Policy Dialogue,
- Roles of actors involved in Policy Dialogue,
- Approaches to Policy Dialogue,
- Policy Dialogue Outcomes with regard to Gender Equality,
- Enabling and constraining factors.

A last section inquires with the respondents whether any of their colleagues or themselves are willing to take part in personalised interviews in order to have a deeper insight and therefore asks for their contact details.

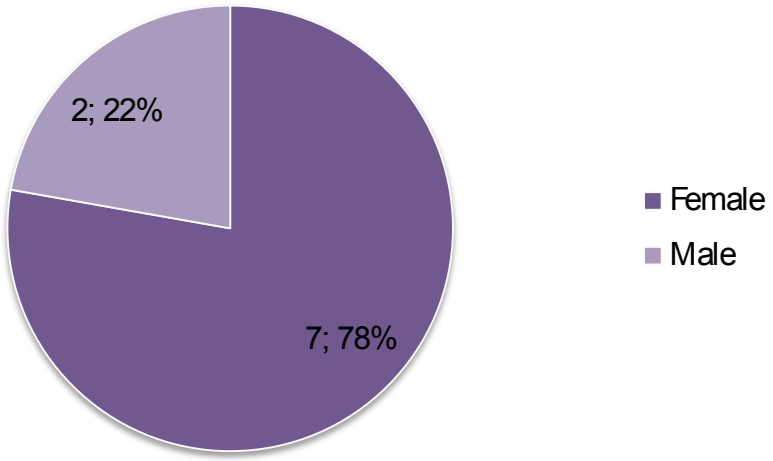
The questions were largely of multiple choice nature (scaling), completed with open space to provide a possibility of further comments or explanations on the choices selected. The answers to none of the questions were posed as mandatory, therefore for some question results there is less than the 11 potential answers presented in the above overview table. For most questions, there was also the option "*Do not know*" that could be ticked by the respondents. In the following analysis these answers were omitted, as they do not present an added value to the survey results.

2 Detailed overview of the answers provided

Introduction page

2.1.1 Gender

Figure 5 Proportion of Male and Female respondents



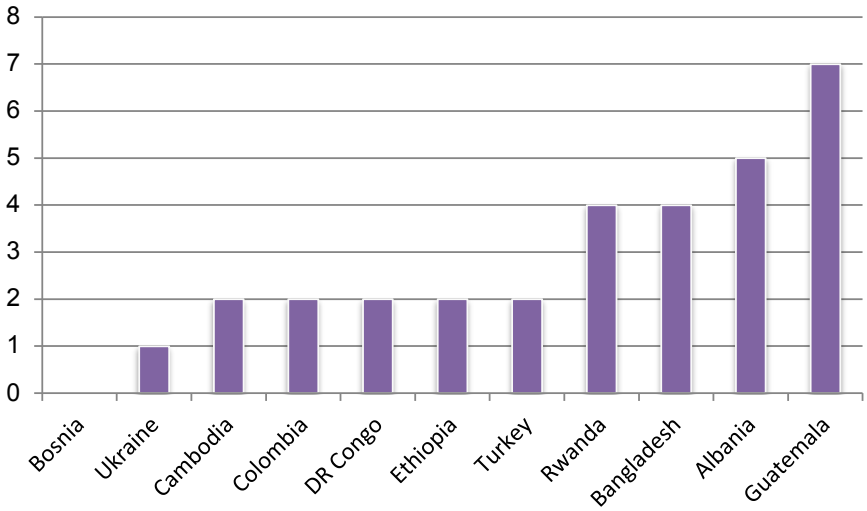
Source: Sida staff survey (Particip; 2014)

2.1.2 What are the positions of the Sida/embassy staff members consulted as part of this survey?

According to the respondents' free responses, in almost every case, Programme Officers were consulted as part of this survey. The Heads of Development Co-operation were also consulted in seven of the case countries Sida/embassy. In only a few cases staff members with other positions took part in the survey, such as sent out staff, Counsellor, development Analyst or Programme manager.

2.1.3 How many staff members were consulted?

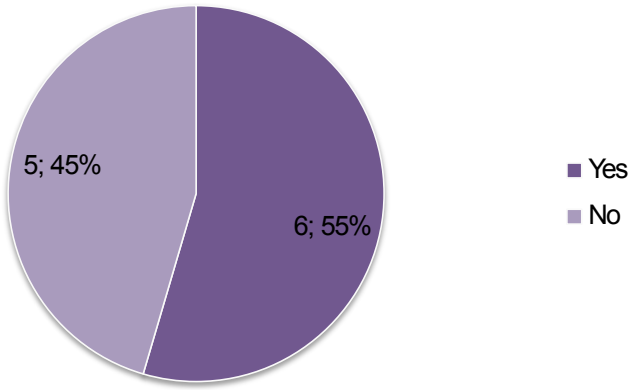
Figure 6 Number of Sida/Embassy staff members consulted



Source: Sida staff survey (Particip; 2014)

2.1.4 Is there a dedicated gender advisor in your work place?

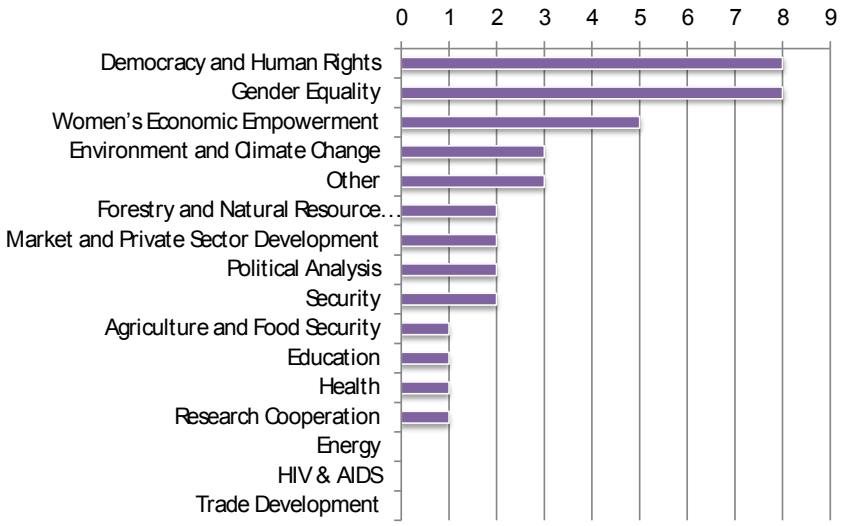
Figure 7 Proportion and number of Sida/embassy staff having a dedicated gender advisor



Source: Sida staff survey (Particip; 2014)

2.1.5 Please indicate the sector(s)/area(s) for which they are responsible

Figure 8 Sector areas under the responsibility of gender advisors



Source: Sida staff survey (Particip; 2014)

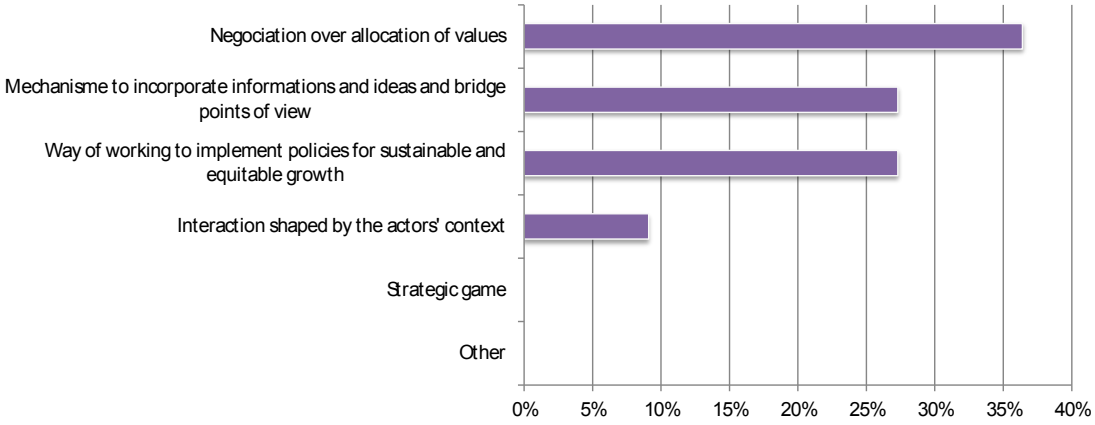
Table 16 Other sectors

Country	Response to survey
Colombia	Peace and Security
Turkey	NGOs
Albania	Culture Heritage

Definitions of Policy Dialogue

2.1.6 Which of the following statements best describes your understanding of policy dialogue?

Figure 9 Statements on policy dialogue

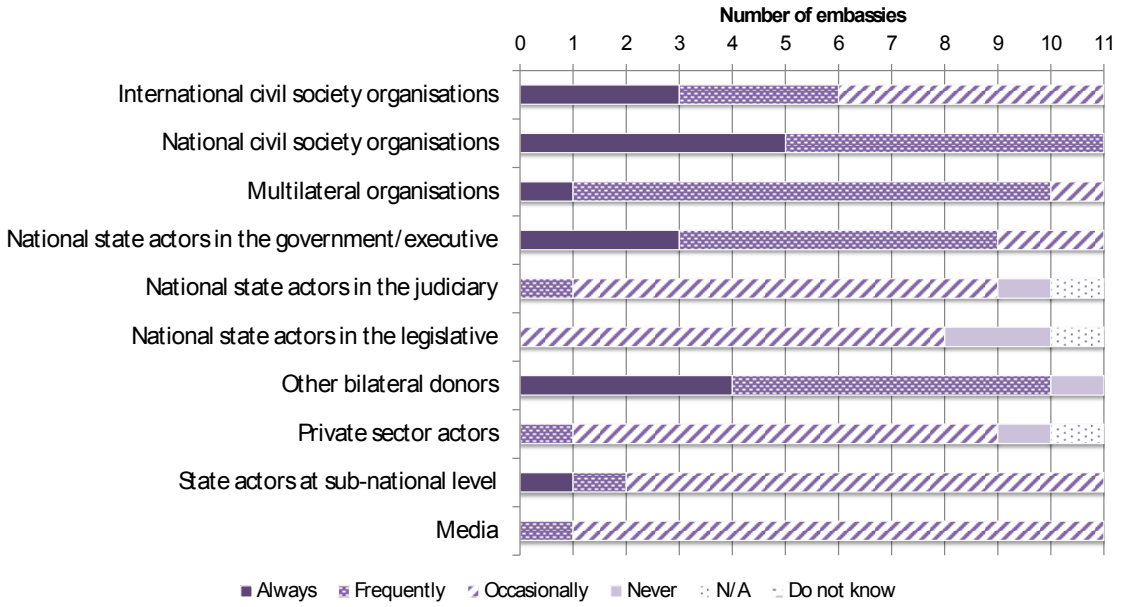


Source: Sida staff survey (Particip; 2014)

Identification of Actors Involved in Policy Dialogue

2.1.7 In the country in which you are working or have worked, with which types of actors does Sida/Swedish embassy engage in policy dialogue

Figure 10 Degree of engagement of actors in policy dialogue by Sida/Swedish embassy

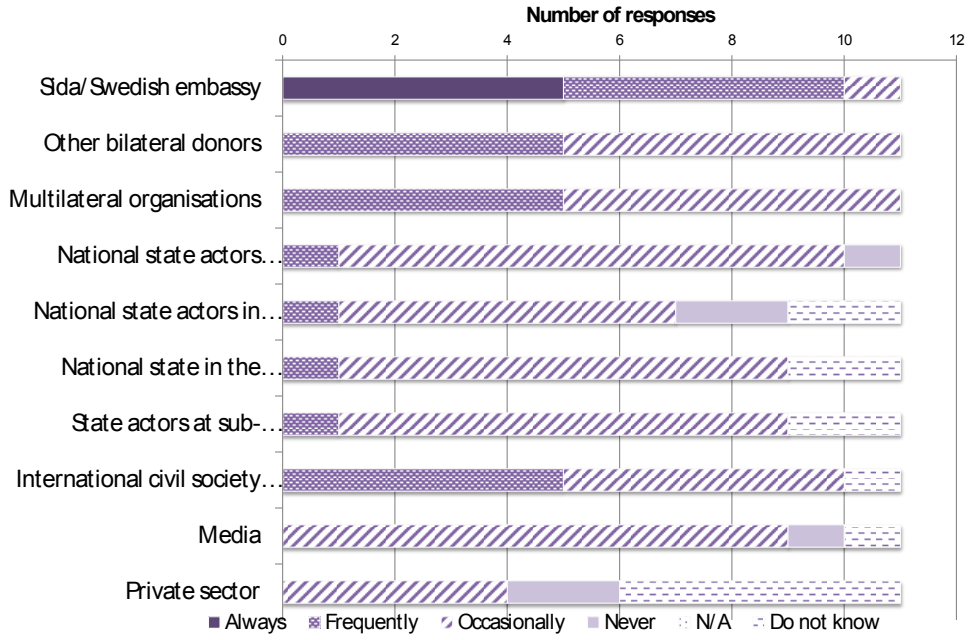


Source: Sida staff survey (Particip; 2014)

Reasons for the engagement – with international civil society organisations

2.1.8 In your view, how often do the following actors raise the issue of gender equality in the policy dialogue?

Figure 11 Frequency of the gender equality issue raised by different actors in the policy dialogue

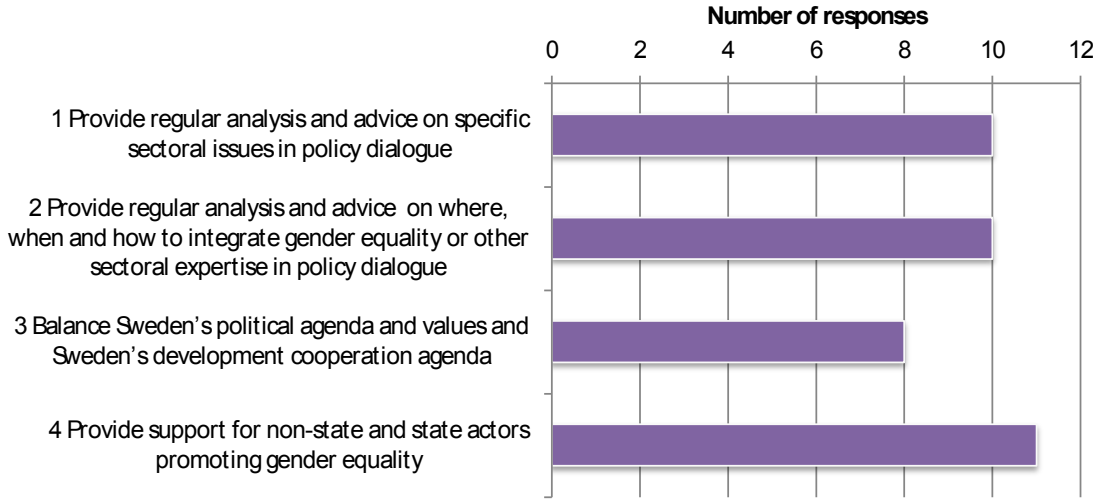


Source: Sida staff survey (Particip; 2014)

Roles of Actors Involved in Policy Dialogue

2.1.9 What are the primary roles you and your colleagues play (or have played) with regards to policy dialogue in your country?

Figure 12 Primary roles played by Sida/Embassy staff members in policy dialogue



Source: Sida staff survey (Particip; 2014)

Table 17 Definitions: Primary roles played by Sida/Embassy staff members in policy dialogue

Label	Definition
1	Provide regular analysis and advice to Sida/Sweden and the co-operation country on specific sectoral issues in policy dialogue.
2	Provide regular analysis and advice to Sida/Sweden and the co-operation country on where, when and how to integrate gender equality or other sectoral expertise in policy dialogue.
3	Balance Sweden's political agenda and values and Sweden's development co-operation agenda.
4	Provide support for non-state and state actors (e.g. Gender Ministry) that advocate actively for the integration of gender equality in policy dialogue.

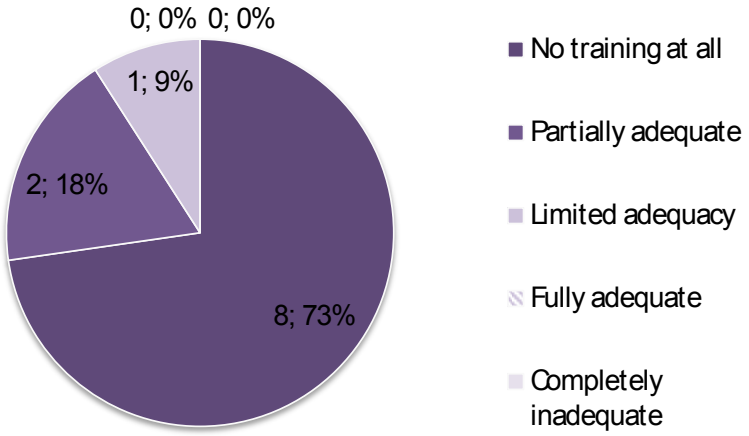
2.1.10 How many of you play or have played the role concerned?

Table 18 Number of key persons

Country	Responses
Cambodia	Ambassador + 7 in Dev.Coop section.
Colombia	Two persons. The gender focal point and the Head of Dev. Co-operation.
Rwanda	3
DR Congo	several
Bangladesh	All in the development co-operation section for follow-up of contributions.
Turkey	1
Albania	All devoplement co-operation team.
Guatemala	All development staff (7).

2.1.11 Have you received any training or other type of support in how to engage in different types of policy dialogue in different political and developmental contexts, and if so, how adequate was this training/support?

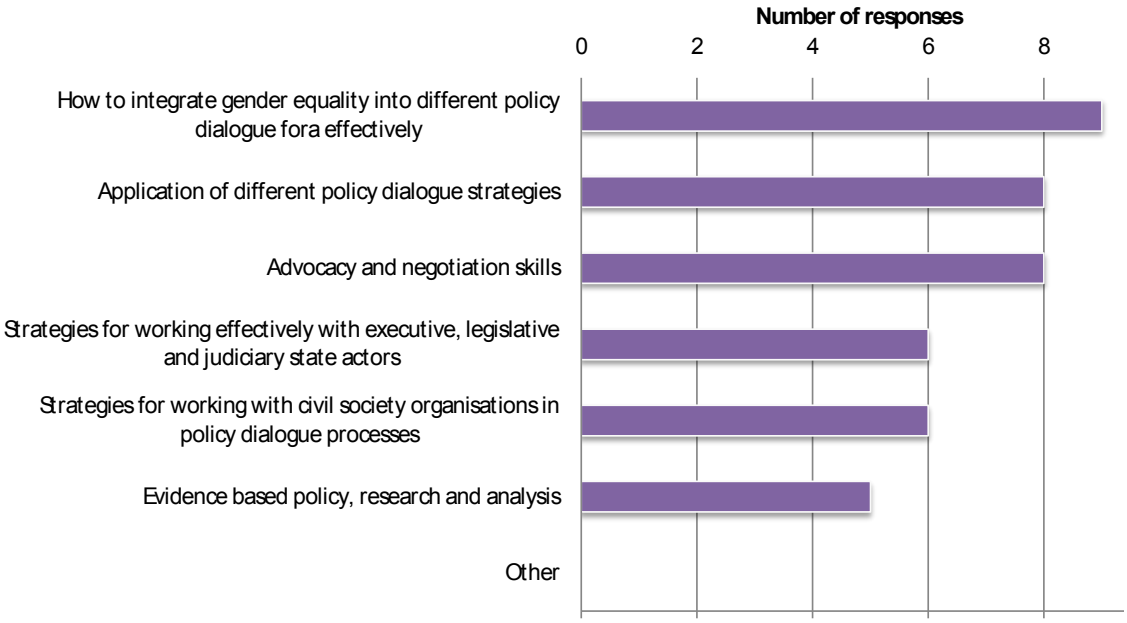
Figure 13 Adequacy of training received



Source: Sida staff survey (Particip; 2014)

2.1.12 In what areas do you think you need or would have needed further training, mentoring or other support?

Figure 14 Areas which need further training and support

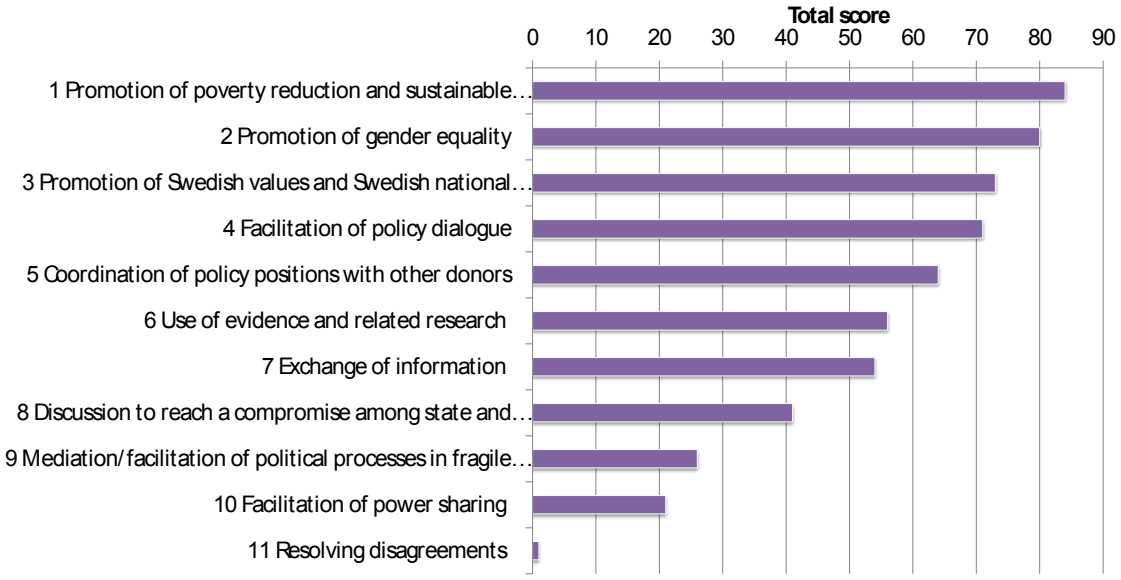


Source: Sida staff survey (Particip; 2014)

Approaches to Policy Dialogue

2.1.13 Please rank the following statements from 1 to 11 according to which ones best describe the strategic approaches to the policy dialogue Sida/the embassy uses in your country context.

Figure 15 Strategic approaches to the policy dialogue used by Sida/embassy in the country context



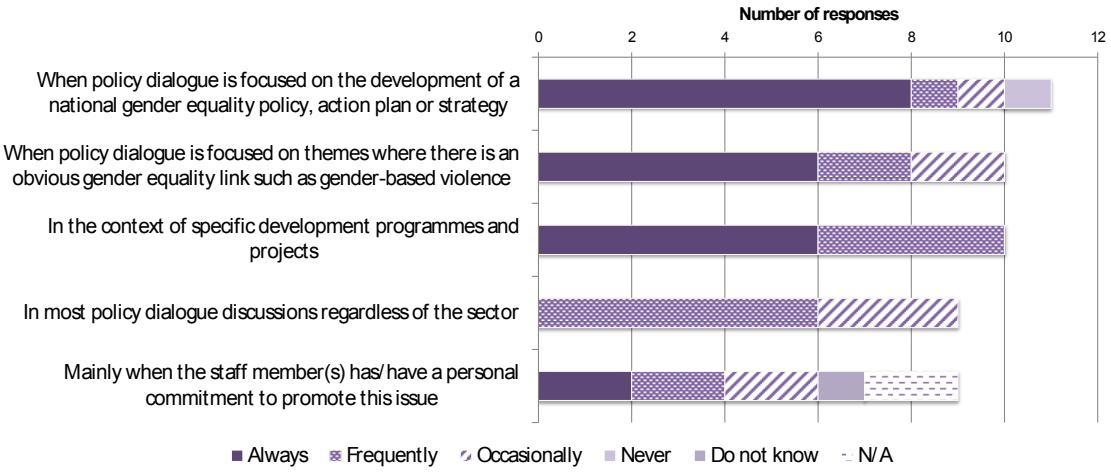
Source: Sida staff survey (Particip; 2014)

Table 19 Definitions on strategic approaches to the policy dialogue used by Sida/embassy in the country context

Label	Definitions
1	Promotion of poverty reduction and sustainable development, greater gender balance, use of participatory processes, and increased respect for human rights.
2	Promotion of gender equality.
3	Promotion of Swedish values and Swedish national interests.
4	Facilitation of policy dialogue within Sida-funded programmes or projects.
5	Coordination of policy positions with other donors.
6	Use of evidence and related research to support a specific policy position.
7	Exchange of information with and among different national actors and donors.
8	Discussion to reach a compromise among state and non-state actors involved on key policy issues related to poverty reduction and socio-economic development.
9	Mediation/facilitation of political processes in fragile states, countries in conflict or engaged in post-conflict reconstruction.
10	Facilitation of power sharing among competing groups in fragile state or country involved in conflict or experiencing post-conflict reconstruction.
11	Resolving disagreements between debtor governments and multilateral or bilateral creditor institutions used by Sida and the lowest indicates the least commonly used.

2.1.14 How often does Sida/the embassy raise gender equality issues in the following policy dialogue contexts?

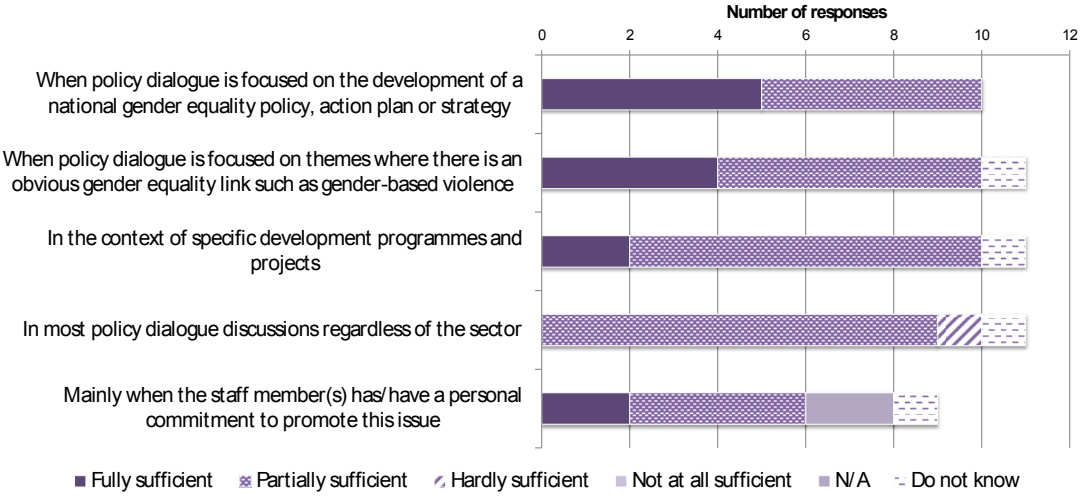
Figure 16 Frequency of gender equality issues in different policy dialogue contexts



Source: Sida staff survey (Particip; 2014)

2.1.15 Is this frequency sufficient?

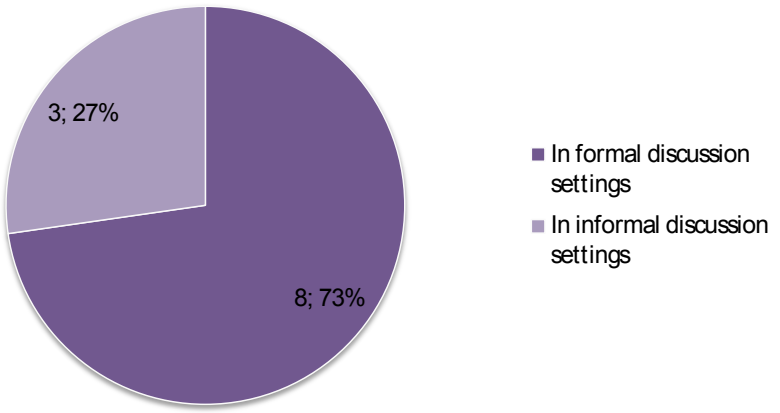
Figure 17 Sufficiency of gender equality issues raising



Source: Sida staff survey (Particip; 2014)

2.1.16 Where does policy dialogue that either focuses on or integrates gender equality take place most frequently?

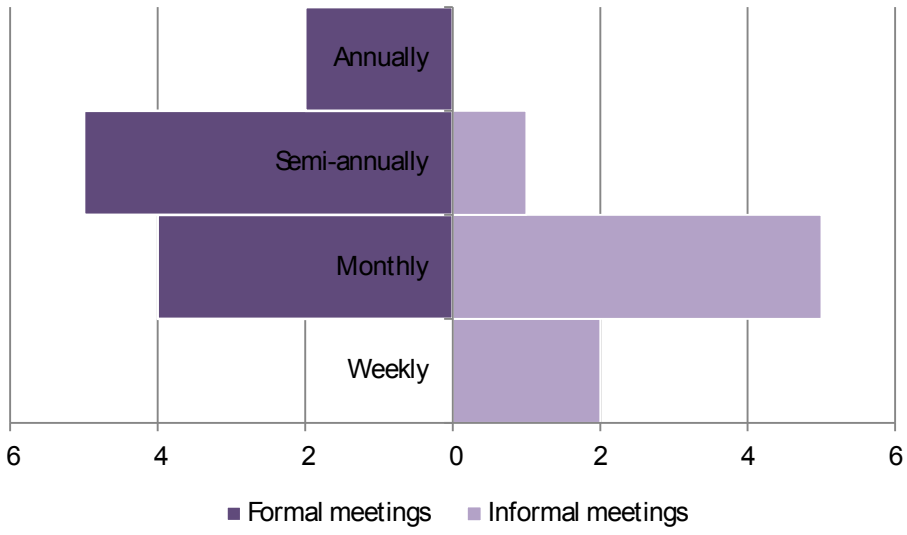
Figure 18 Place of policy dialogue focus on gender equality



Source: Sida staff survey (Particip; 2014)

2.1.17 Please indicate the formal and informal settings where policy dialogue that focuses on or integrates gender equality takes place, e.g. semi-annual meeting between Sida/the Swedish embassy and national state actors.

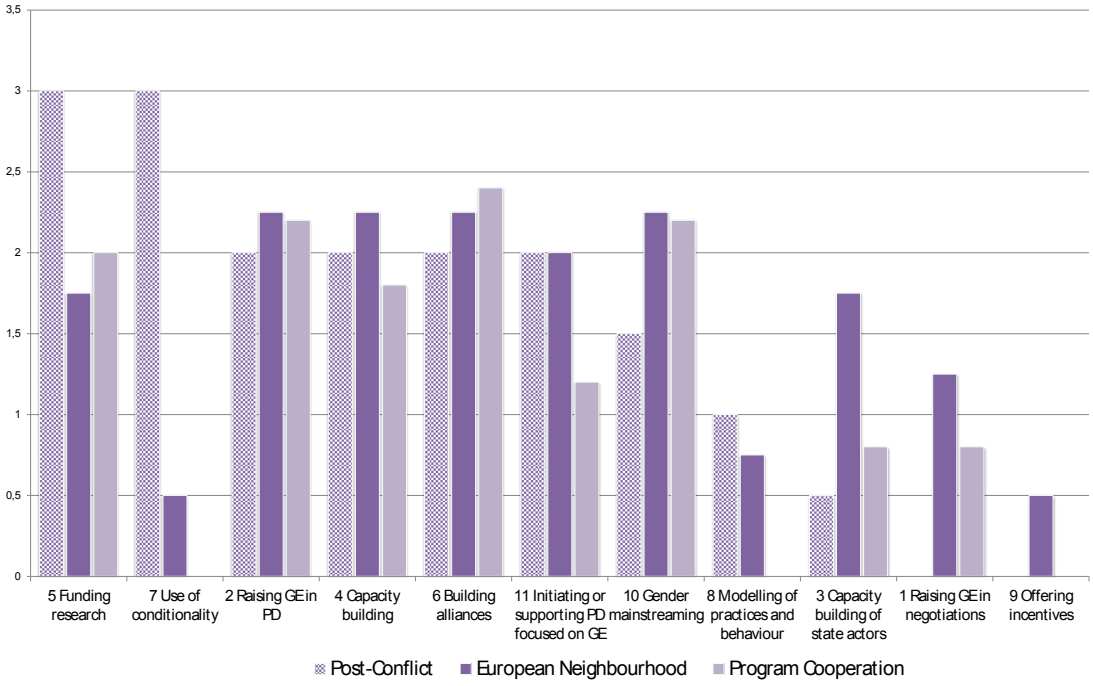
Figure 19 Meeting setting



Source: Sida staff survey (Particip; 2014)

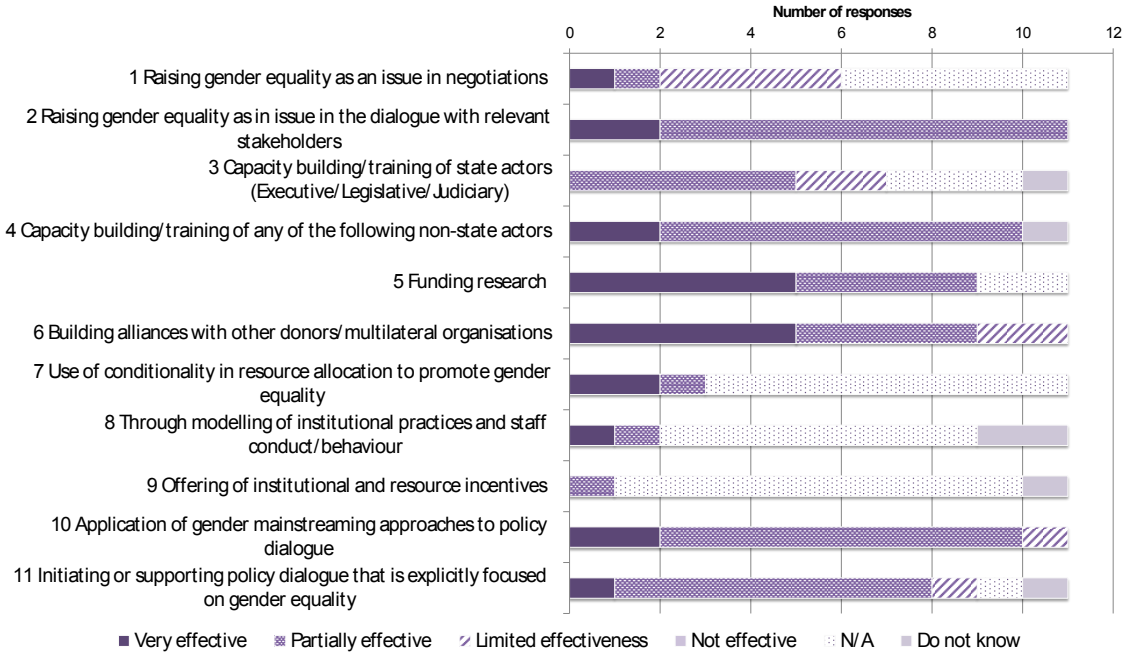
2.1.18 Which of these strategies have you used and found to be effective or not effective in addressing gender equality and why?

Figure 20 Combined Average Ratings - Effectiveness of Chosen Strategies to Promote GE[45]



[45] Category titles: 5 Funding research: 7 Use of conditionality in resource allocation, 2 Raising GE as an issue in policy dialogue, 4 Capacity building of non-state actors, 6 Building alliances with other donors/multilateral organisations, 11 Initiating or supporting policy dialogue focused on GE, 10 Application of gender mainstreaming approaches to policy dialogue, 8 Modeling of institutional practices and staff behavior, 3 Capacity building of state actors, 1 Raising GE as an issue in negotiations, 9 Offering of institutional and resource incentives.

Figure 21 Effectiveness of strategies



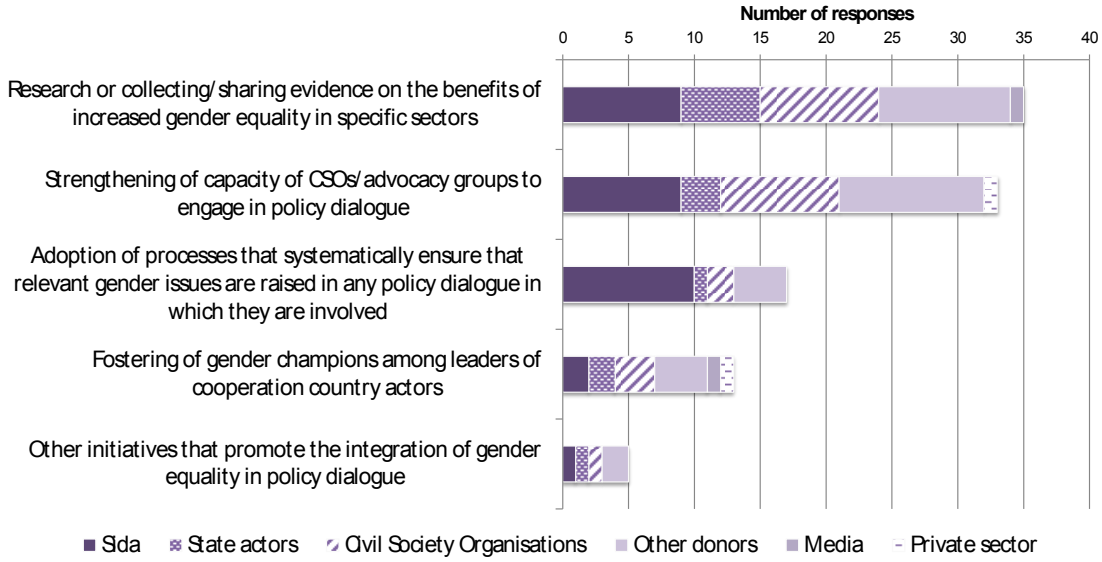
Source: Sida staff survey (Particip; 2014)

Table 20 Definitions on effectiveness of strategies

Label	Definitions
1	Raising gender equality as an issue in negotiations of multi-year development co-operation strategies and annual high-level dialogues with government
2	Raising gender equality as in issue in the dialogue with relevant stakeholders in specific sectors, programme interventions and at the sub-national level
3	Capacity building/training of state actors (Executive/Legislative/Judiciary) involved in policy dialogue to be able to advocate GE issues effectively
4	Capacity building/training of any of the following non-state actors to facilitate their participation in or ability to influence policy dialogue from a gender equality perspective (National civil society organisations/Media/Academic institutions)
5	Funding research to provide evidence of need for and benefits of including specific gender equality issues in sector-focussed policy dialogue
6	Building alliances with other donors/multilateral organisations to support integration of GE into policy dialogue and drawing upon their capacities in this area
7	Use of conditionality in resource allocation to promote gender equality
8	Through modelling of institutional practices and staff conduct/behaviour that demonstrate a valuing of gender equality
9	Offering of institutional and resource incentives that support actions or initiatives to increase/promote gender equality
10	Application of gender mainstreaming approaches to policy dialogue that takes place within programmes and projects funded by Sida
11	Initiating or supporting policy dialogue that is explicitly focused on gender equality issues

2.1.19 Which of the following actors have provided resources (either human, information or financial) to support any of the following

Figure 22 Actors providing resources

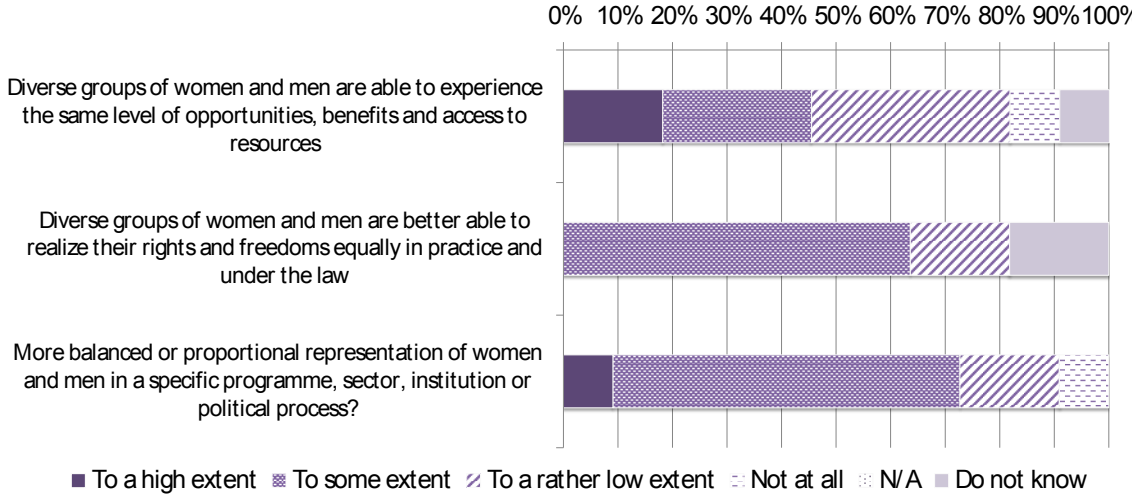


Source: Sida staff survey (Particip; 2014)

Policy Dialogue Outcomes with regard to Gender Equality

2.1.20 To what extent has policy dialogue in which Sida/Sweden has participated in your country of work led to measurable changes in any of the following:

Figure 23 Contribution to change of Sida/Sweden policy dialogue engagement



Source: Sida staff survey (Particip; 2014)

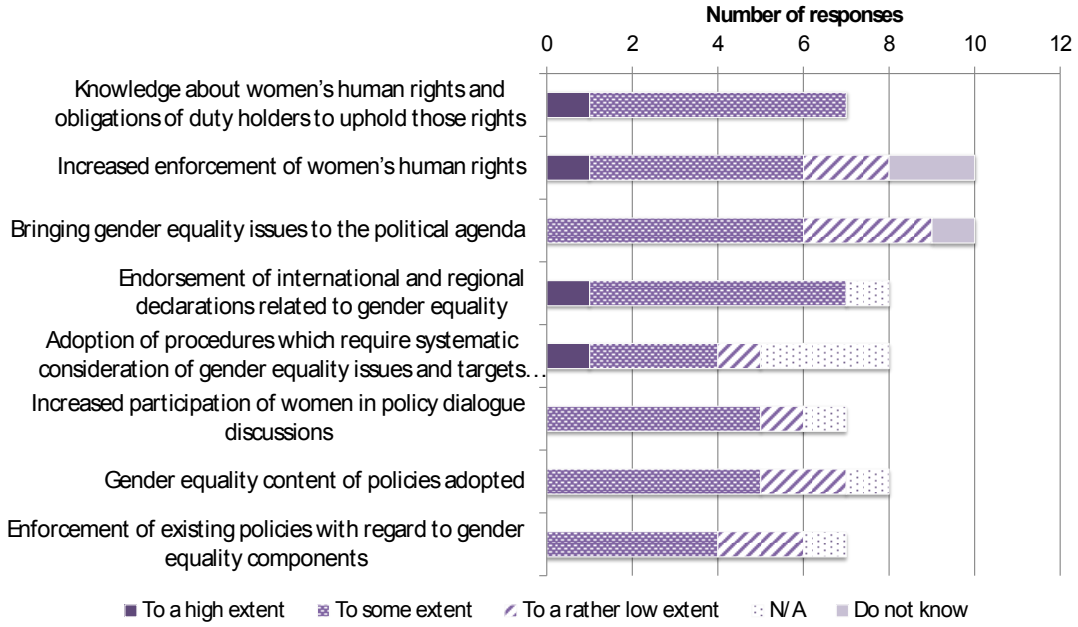
2.1.21 Please describe and rank any changes that were not included in the previous list

Table 21 Comments on any changes that were not included in the previous list

Country	Response
Ukraine	This attempt fostered some reflections both on Sida and EBRD side when it comes to actual gender mainstreaming in investment projects
Rwanda	Ministry of Gender and family promotion, Gender Monitoring Office and Rwanda women parliamentary forum supported through One UN and they are implementing a capacity building strategy.

2.1.22 To what extent has the policy dialogue in which Sida/Sweden has participated in your country of work led to measurable changes among state actors in any of the following

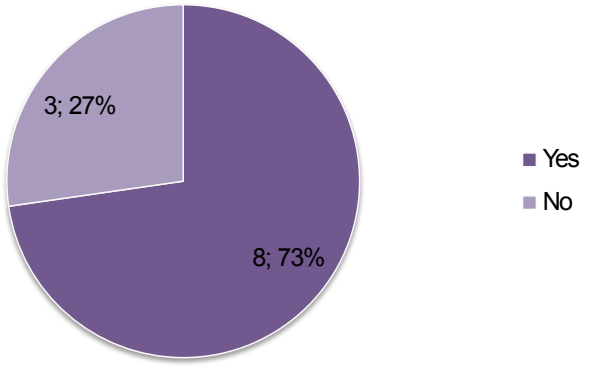
Figure 24 Contribution to measurable changes among state actors



Source: Sida staff survey (Particip; 2014)

2.1.23 Has the policy dialogue in which Sida/Sweden has participated in your country of work led to the adoption of new policies that either focus on or integrate gender equality - or revision of existing policies to either focus on or integrate gender equality?

Figure 25 Contribution of policy dialogue to adoption of new policies integrating gender equality

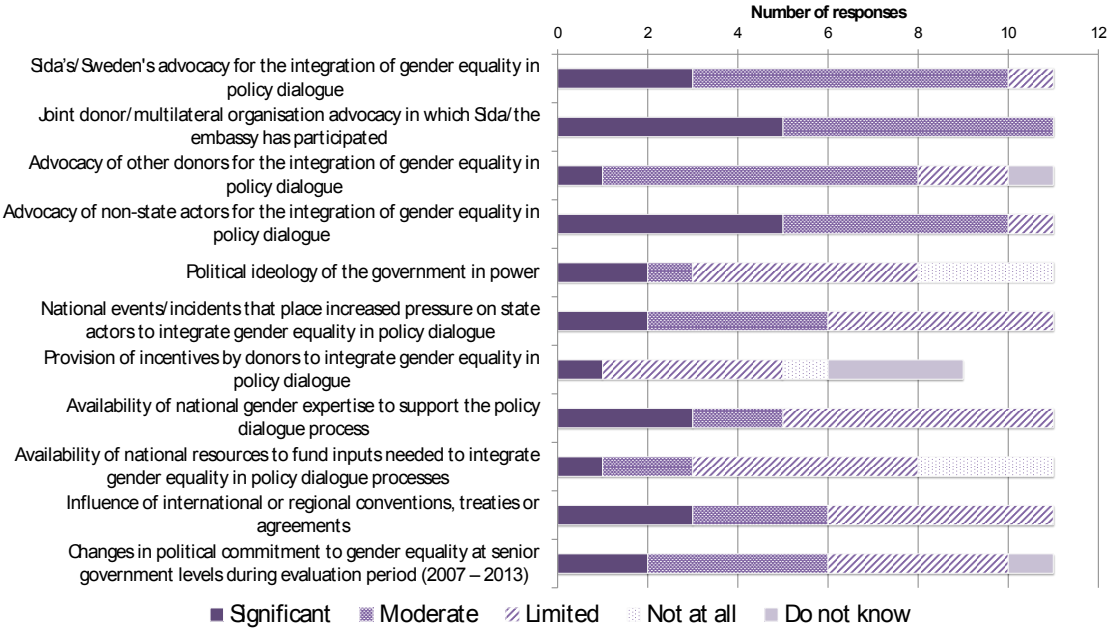


Source: Sida staff survey (Particip; 2014)

Enabling and constraining factors

2.1.24 Please rank each of the following enabling factors with regard to how much you think they have influenced the successful integration of gender equality in policy dialogue processes in the country in which you are working (or have worked)

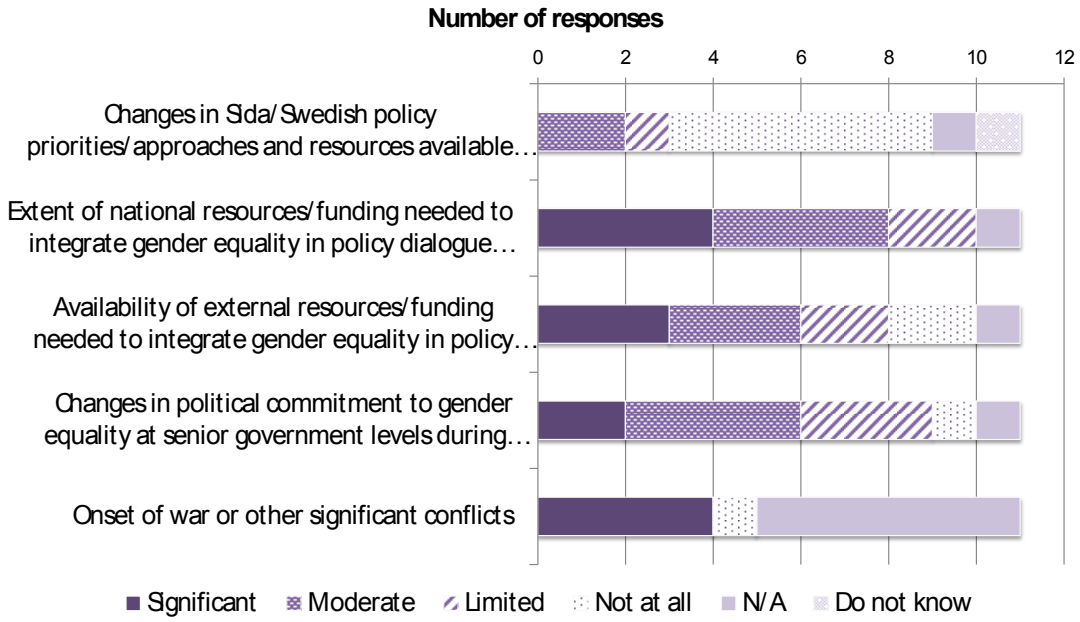
Figure 26 Enabling factors to integration of gender equality in policy dialogue processes



Source: Sida staff survey (Particip; 2014)

2.1.25 Please rank the following factors with regard to how much you think they have constrained or limited the integration of gender equality in policy dialogue processes in the country in which you are working (or have worked)

Figure 27 Constraining factors to integration of gender equality in policy dialogue processes



Source: Sida staff survey (Particip; 2014)

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Evaluation of Policy Dialogue as an Instrument - the case of Gender Equality

Main report

This report represents the collective findings of the "Evaluation of Policy Dialogue as an instrument in Swedish Development Co-operation – the case of Gender Equality". The evaluation covers the period 2007-2013. Its overall purpose was to gain a better understanding of what constitutes successful policy dialogue on gender equality in different contexts and to contribute to the improvement of the policy dialogue as an instrument in development co-operation.
The evaluation was carried out by an independent evaluation team. The key finding is that, despite some reservations, policy dialogue has been an effective tool, which Swedish embassies have been able to use in diverse contexts.

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