



# HOW-TO NOTE

## Gender Integration in Performance Plans and Reports

### Policy Series

**This Note provides guidance on reporting on results achieved regarding Gender Indicators and Key Issues in PPRs.**

**How-To Notes** are published by the Bureau of Policy, Planning and Learning and provide guidelines and practical advice to USAID staff and partners on topics related to the Program Cycle. This How-To Note supplements USAID ADS Chapter 205.

### INTRODUCTION

This How-To Note provides an overview of USAID requirements for reporting on progress toward gender equality and women's empowerment in Performance Plans and Reports (PPRs). This information is used to determine how well USAID activities around the world have met objectives related to gender equality, women's empowerment, gender-based violence, and women, peace and security as defined by the Gender Key Issues [*for a definition of the Gender Key Issues and further information, see the How-To Note on Gender Integration in MRRs and OPs*].

The Performance Plan and Report (PPR) is an annual data call for performance information to all Operating Units (OUs) in USAID and the Department of State (DoS) that implement foreign assistance programs. The report reflects the successes and challenges of U.S. foreign assistance for each OU, and is used to understand, assess and manage the performance of OUs and overall foreign assistance activities. It is also used to describe agency-level performance to key stakeholders.

PPRs collect information on targets for and progress toward nine standard indicators on these issues: gender equality, women's empowerment, gender-based violence, and women, peace and security, as well more than 30 other sex-disaggregated indicators. PPRs also require narratives that describe how an OU's activities contribute to the four Gender Key Issues.

Companion resources to this How-To Note, FAQs on Gender Integration in PPRs and Questions to Guide PPR Reviews for Gender, are available at [location]. A separate How-To Note on Gender Integration in MRRs and OPs and companion FAQs is also available at [location].

### REPORTING ON GENDER IN THE PPR

#### GENDER INDICATORS

In 2011, seven gender indicators were adopted in FACTS Info, and in 2012, two new indicators were developed for Women, Peace, and Security. Five of these indicators are designated required as applicable, starting with the FY 2012 Performance Plan and Report. FY12 was a target-setting year for the new indicators, with data collection taking place for reporting in PPRs in FY13.

The specific requirements are:

- OUs with funding attributed to Gender Equality/Women's Empowerment-Primary or -Secondary, or activities to promote these objectives, are required as applicable to report on Gender Indicator 2, "Proportion of female participants in U.S. government-assisted programs designed to increase access to productive economic resources" and Gender Indicator 4, "Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities."
- OUs with funding attributed to Gender Based Violence (GBV), or activities that address GBV, are required as applicable to report on Gender Indicator 6: "Number of people reached by a USG funded intervention providing GBV services" and encouraged to use Gender Indicator 7: "Percentage of target population that views Gender-Based Violence (GBV) as less acceptable after participating in or being exposed to USG programming."
- OUs with funding attributed to Women, Peace and Security are required as applicable to report on Indicator 1.3-9 "Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities" and Indicator 1.6-6 "Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance." Operating units designated as USAID or DoS focus countries for WPS implementation are also strongly encouraged to refer to the list of [WPS relevant indicators](#) to measure the results of foreign assistance efforts targeting WPS objectives.

OUs should report on results realized during the fiscal year, regardless of the appropriation year of the funding that helped produce the results. The Indicator Handbook [\[link\]](#) contains reference sheets that explain how each indicator is to be computed and updates on new and required indicators.

**TABLE 1: INDICATORS FOR GENDER EQUALITY, FEMALE EMPOWERMENT, GENDER-BASED VIOLENCE, AND WOMEN, PEACE AND SECURITY**

* = required as applicable	GENDER EQUALITY AND FEMALE EMPOWERMENT
GNDR – 1	Number of laws, policies, or procedures drafted, proposed or adopted to promote gender equality at the regional, national or local level
*GNDR – 2	Proportion of female participants in U.S. government-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment)
GNDR – 3	Proportion of females who report increased self-efficacy at the conclusion of USG supported training/programming
*GNDR – 4	Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities

	<b>GENDER-BASED VIOLENCE</b>
<b>GNDR – 5</b>	Number of laws, policies or procedures drafted, proposed, or adopted with USG assistance designed to improve prevention of or response to sexual and gender based violence at the regional, national or local level
<b>*GNDR – 6</b>	Number of people reached by a U.S.government funded intervention providing GBV services (e.g., health, legal, psycho-social counseling, shelters, hotlines, other)
<b>GNDR – 7</b>	Percentage of target population that views Gender-Based Violence (GBV) as less acceptable after participating in or being exposed to USG programming
	<b>WOMEN, PEACE AND SECURITY</b>
<b>*I.3-9</b>	Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities.
<b>*I.6-6</b>	Number of local women participating in a substantive role or position in a peace building process supported with U.S.government assistance

OUs do not need to use all the indicators in the above table, but should select an adequate and reasonable number of indicators that reflect the results for their programs to promote gender equality and female empowerment, reduce gender-based violence, and promote women, peace, and security. Indicators designated as “required as applicable” means that OUs should use them whenever they can be applied. Doing so requires advance planning because some involve more than one round of data collection, translation of a short survey, or other advance activities. These indicators are deliberately written in a broad manner so that they can be applied to activities across the numerous sectors in which USAID carries out programming.

For additional guidance, see “Questions to Guide PPR Reviews for Gender” (January 2012).

## **GENDER KEY ISSUE NARRATIVES**

MRRs, OPs, and PPRs are all based on the same four Gender Key Issues. These are: Gender Equality/Women’s Empowerment-Primary (GEWE-Primary); Gender Equality/Women’s Empowerment-Secondary (GEWE-Secondary); and Gender-Based Violence (GBV); and one independent key issue Women, Peace, and Security (WPS).

*Gender Equality/Women’s Empowerment-Primary and Secondary:* In the Gender Key Issue narrative, OUs should clarify which gender gaps the activity seeks to reduce and relevant results achieved to date. OUs should describe specific activities, challenges, and successes to encourage the participation and leadership of women and girls; changes in gender norms that transpired; and other results attained. Finally, OUs should provide the name and location of the activity.

*Gender-Based Violence:* To the extent possible, OUs are encouraged to include in the Gender Key Issue narrative the following information: the name and location of the activity; the extent to which it engages men and boys; and the type of GBV addressed (e.g., female infanticide; harmful traditional practices such as early

and forced marriage, “honor” killings, and female genital cutting; child sexual abuse and slavery; sexual coercion and abuse; neglect; violence against lesbian, gay, bisexual, and transgender individuals; domestic violence; and elder abuse.

*Women, Peace, and Security:* In the WPS key issue narrative, OUs should describe relevant results (to include achievements, challenges, and solutions) in relation to its OU Mission Objectives; to the extent possible, operating units should also indicate the primary National Action Plan (NAP) objectives or outcomes supported by the results described. In addition to program-funded activities, operating units are encouraged to report on non-programmatic activities such as staff training, consultation processes with local women’s organizations, gender working groups, or integration of WPS in Mission Orders; these non-programmatic activities are those described under NAP Objective I (Integration and Institutionalization) and corresponding sections of the USAID and DOS implementation plans for the NAP.

If information on the WPS-related results of a program, project or activity are included in another performance, key issue, or indicator narrative (such as GEWE-Secondary or GBV Key Issue narratives), the same information can be included or summarized in the WPS Key Issue narrative, or cross-referenced if it is too extensive to be included in the WPS key issue narrative. However, OUs that receive central funds designated explicitly for the implementation of WPS activities must describe the results of programs associated with these funds in the WPS Key Issue narrative.

## ADDITIONAL RESOURCES

The following resources can be used as samples or templates, or provide more information on the topics reports and on evaluation in general. The USAID Evaluation Policy and the USAID ADS (Automated Directives System) 200 series take precedence over that in other resources.

- How-To Note on Gender in MRRs and Ops and FAQs: <https://programnet.usaid.gov/how-to-note-gender-mrrs-ops>
- ADS 205.3.7: Gender Integration in Operational Plans and Performance Plans and Reports: <http://inside.usaid.gov/ADS/200/205.pdf>

## ANNEX I: FREQUENTLY ASKED QUESTIONS GENDER AND PPRS

### I. What does “required as applicable” mean for the gender indicators?

“Required As Applicable” (RAA) indicators should be activated in the first PPR cycle for which data, either targets or results, are available to report. The rule for reporting against RAA indicators is that the OU must have both attributed funding and related activities to report – regardless of when funding was attributed, the OU should only activate an RAA indicator once targets and/or results are available to report.

OUs with funding attributed to Gender Equality and Women’s Empowerment Primary or Secondary and activities relevant to the indicators are required to report on Gender Indicator 2, “Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources” and Gender Indicator 4, “Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities.”

OUs with funding attributed to Gender Based Violence and activities relevant to the indicator are required to report on Gender Indicator 6, “Number of people reached by a USG funded intervention providing GBV services.”

And, OUs with funding attributed to Women, Peace and Security and activities relevant to the indicators are required to report on Indicator 1.3-9 “Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities”, and Indicator 1.6-6 “Number of local women participating in a substantive role or position in a peace building process supported with USG assistance”. Operating units designated as USAID or DoS focus countries for WPS implementation are also strongly encouraged to refer to the list of [WPS relevant indicators](#) to measure the results of foreign assistance efforts targeting WPS objectives.

*Before using any foreign assistance standard indicator, please be sure to read the [Indicator Reference Sheet](#) to be certain that the indicator’s intended purpose, use and other details are understood and that there is a match between the indicator requirements and the data that the OU can report.*

### Can OUs report custom indicators instead of the instead of the F designated Gender indicators?

OUs should first determine if one or more of the five gender indicators that are designated as “required as applicable” are relevant to the activity. If the indicators are not relevant, an OU can substitute and report on a relevant custom indicator. The rationale for including custom indicators in the PPR is to reflect distinct outcomes, rather than outputs, and should be used sparingly for the purpose of capturing high level performance in the absence of a comparable standard indicator.

For example, if an implementing mechanism’s funding and activities are attributed to GEWE Primary or Secondary, the required indicator is Gender-2: “Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income, or employment).” However, if the implementing mechanism promotes women’s political participation, the required indicator is not an appropriate measure of its results because it refers only to increasing access to productive assets. Therefore, Gender-2 should not be used.

However, in this example, another crosscutting indicator would be appropriate - Gender-3 “Proportion of females who report increased self-efficacy at the conclusion of USG-supported training/programming.”

Although not required, this indicator could be an effective outcome measure of women's political empowerment.

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

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

### **2. I have a question about GNDR-2: Proportion of female participants in USG-assisted programs designed to increase access to productive economic resources (assets, credit, income or employment). Can you shed some light on how this indicator is to be collected?**

You need to examine all your activities designed to increase access to assets (land, housing, livestock, etc.), credit, income and employment and compute the total numbers of male/female participants in them. The types of activities that count toward this indicator are those that include micro, small, and medium enterprise programs; workforce development programs that have job placement activities; programs that build assets (such as land redistribution or titling; housing titling; agricultural programs that provide assets such as livestock; programs designed to help adolescent females and young women set up savings accounts). To help further explain what this indicator should capture, check to see if you are reporting on any of these standard indicators: [4.5.1-22](#), [4.5.1-25](#), [4.5.2](#), [4.5.2-3](#), [4.5.2-5](#), [4.5.2-6](#), [4.5.2-7](#), [4.5.2-25](#), [4.5.2-27](#), [4.5.2-37](#), [4.6.1-16](#), [4.6.2-9](#), [4.6.2-11](#), [4.6.2-13](#), [4.6.3-2](#), [4.6.3-9](#), [4.7.1-12](#), [4.7.3-6](#), [4.7.3-8](#), [4.7.4-5](#), [4.7.4-6](#), [4.8.1-6](#), [4.8.1-27](#), [4.8.2-6](#). If you are already reporting on any of these indicators, then you have already collected some of the types of data applicable to this indicator. (Click the link to go to the reference sheets for these indicators). After deriving the total number of men and women who participated in each activity, you should then calculate the proportion of females.

### **Three sector teams in my mission (e.g., PHN, DHR and EDU) have attributed to the Gender Equality key issue. We have at least 6 different implementing partners/programs included, each of which is collecting data. Are we supposed to set common targets? It seems like this is mixing apples and oranges given such variance in programs.**

No, each program should set separate targets, because the activities are in different sectors and it only makes sense to set targets based on the activity's objective/purpose.

### **3. I have a question about GENDER-3: Proportion of females who report increased self-efficacy at the conclusion of USG supported training/programming. This indicator instructs us to use the GSE scale to collect data. Is this scale available somewhere?**

The full measure is included in the reference sheet for this indicator. The measure that is to be used is based on the Generalized Self-Efficacy or GSE (Judge, Locke, Durham, & Kluger, 1998\*). It includes the following statements, which implementing partners should use to create a survey:

- I am strong enough to overcome life's struggles.
- At root, I am a weak person. (r)
- I can handle the situations that life brings.
- I usually feel that I am an unsuccessful person. (r)

- I often feel that there is nothing that I can do well. (r)
- I feel competent to deal effectively with the real world.
- I often feel like a failure. (r)
- I usually feel I can handle the typical problems that come up in life.

Respondents will be asked to indicate the extent of their agreement with each item, using the following scale:

-2 = Strongly Disagree

-1 = Disagree

0 = Neither Agree nor Disagree

+1 = Agree

+2 = Strongly Agree

*Items with an “r” are to be reverse-scored.* In other words, those items followed by an “r” that have a score of -2 should be recoded as a score of +2, -1 should be recoded as +1, +1 as -1 and +2 as -2.

For example, for item 2 (“At root, I am a weak person), a response of ‘strongly agree’ would be re-coded as “- 2” and a response of ‘strongly disagree’ would be re-coded as “+2.” Responses on each item should be added to yield a score between -16 and +16. A higher score indicates more positive feelings of self-efficacy.

The proportion of participants whose score increased across time should be reported as a fraction, with the number of trained participants overall provided as the denominator.

#### **4. I have a question about GENDER-4: Proportion of target population reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities. Is there additional guidance on steps for ensuring the validity of this indicator?**

The nine gender indicators were chosen because they have been validated in other contexts by social scientists with expertise in this type of measurement. Reference sheets for each indicator, included in the Appendix, provide detailed information on the definition, data source, reporting frequency, etc. If an OU designates one of these indicators for reporting in the PPR, they are required to complete a Data Quality Assessment, which is another way of validating the indicator in a USAID context. When conducting a Data Quality Assessment of these indicators, you will be assessing the reliability, timeliness, quality, etc. of the data that implementing partner collects - not on the instrument itself. A DQA checklist is available at <http://f.state.sbu/PPR2012/DQA%20Checklist.docx>.

#### **What guidance can you give to teams about how to develop out year targets in such a short time frame – especially considering this will require pre and post surveys?**

To set a target, one needs a baseline. One suggestion for a baseline is to look for other surveys or data that may have been collected in prior projects. Then consider whether you can expect some increase each year or to be stable at that threshold.

#### **Can you clarify what “target population” means? Should the indicator read “beneficiaries” instead, so measurement of this group can be more easily built into monitoring and evaluation?**

The target population is usually broader than the beneficiaries of a project– it is the group of individuals targeted to participate in or be exposed to a USAID activity. The data for this indicator is collected by a survey administered to the target population at baseline and at endline. The indicator reference sheet for



Gender-4 includes the survey methodology to be used to measure the population viewpoints. The Mission Gender Advisor/POC, program AOR/COR, Mission M&E expert, and the implementing partner should work together to determine the sampling approach for the survey. For example, if the intervention includes a public information campaign that is expected to reach a target population of hundreds or thousands of persons, a survey could be very costly. Instead, the team could work to select a reasonable sample size to gather data for this indicator.

## 5. Women, Peace, and Security

For questions about attributions to the Women, Peace and Security Key Issue, please see FAQs on Gender and MRRs/OPs located in the annex of the [How-To Note on Gender Integration in MRRs and OPs](#).

**If a country is not in either Category A or B for WPS and is therefore not required to develop an action plan or implement WPS activities, do we have to report on the WPS indicators?**

Yes. The PPR Guidance says that “OUs with funding attributed to Women, Peace, and Security (WPS) are required as applicable to report on Indicator 1.3-9: ‘Number of training and capacity building activities conducted with USG assistance that are designed to promote the participation of women or the integration of gender perspectives in security sector institutions or activities,’ and Indicator 1.6-6: ‘Number of local women participating in a substantive role or position in a peacebuilding process supported with USG assistance.’

Other WPS indicators can be found [here](#), and Missions are encouraged to use them if they are applicable to WPS activities.

**Our FY2014 budget has attributions to WPS but we do not have any work with security institutions nor with peace building process. So, are we still required to report on the two “required as applicable” indicators?**

No. The indicators are required ‘as applicable,’ so if these indicators don’t fit your activities, don’t use them. There is a much longer list of [WPS indicators](#) that you can choose among in your PPR reporting, so there are likely to be others that you can use in your PPR. Many of the seven cross-cutting gender indicators will be applicable for WPS activities as well.

## 6. Data Quality Assessments (DQAs)

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

No. The FY12 PPR Guidance requires that DQAs be completed within 6 months of reporting on the indicator to Washington to ensure that sufficient information has been collected to have a basis for assessing the data’s reliability, timeliness, quality, etc. Thereafter, the DQA should be updated at least every three years for any indicators reported to Washington. A DQA checklist is available at <http://f.state.sbu/PPR2012/DQA%20Checklist.docx>. If too little data has been collected when conducting the DQA, it may be difficult to fully assess all dimensions of data quality. It is important that Missions document the result of the DQA in project files as well as in the Mission’s PMP. When data do not meet one or more of the data quality standards, Missions should document the data limitations on their DQA checklist as well as establish plans for addressing the limitations.



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

DQA requirements apply to each data source that feeds an indicator. This means that if reporting for one indicator is really the aggregate of data from six different sources, then six different DQAs (one for each data source) is required.

## **7. POC for Gender Indicators**

**Who is the Washington POC for gender sensitive indicators?**

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