Annex 1: UN-SWAP 2.0 and Secretariat entities with a mainly administrative function

This purpose of this Annex is to clarify UN-SWAP 2.0 reporting requirements per Performance Indicator for Secretariat entities which have a mainly administrative function. It refers to OHRM, DM, OIOS, UNOG, UNOV, UNON, DGACM, OAJ, Office of the United Nations Ombudsman and Mediation Services, and OLA.

I. Gender-related SDG Results

A. Results-based Management

01. Performance Indicator: Strategic Planning Gender-related SDG results

Entities should include a high-level result (expected accomplishment or equivalent) on gender parity in staffing, linked to the entity plan on gender parity in staffing, in the main Secretariat strategic planning document and should rate as “exceeds” if they do so.

02. Performance Indicator: Reporting on Gender-related SDG results

Entities should report on the high-level result on gender parity in staffing through the Secretariat standard programme budget reporting process. To exceed requirements entities should hold at least one town hall meeting annually on gender parity in staffing where the current state of gender parity is reported on and discussed.

03. Performance Indicator: Programmatic Gender-related SDG Results*55

Entities should report on any gender-related initiatives not included in the main Secretariat strategic planning document, for example related to extra-budgetary resources. If there are no such initiatives this indicator should be rated on not applicable.

B. Oversight

04. Performance Indicator: Evaluation

Entities with a mainly administrative function do not for the most part carry out evaluations. Where evaluations are carried out they should meet the requirements set out for this Performance Indicator. Self-evaluations should be assessed against the guidance for this type of evaluations provided by OIOS.

05. Performance Indicator: Audit

Audit is a centralized function in the Secretariat and entities should enter data provided by OIOS

II. Institutional Strengthening to Support Achievement of Results

C. Accountability

55 *not captured in the Strategic Plan
06. Performance Indicator: Policy

Entities should report on their plan for fulfilling requirements in the System-wide strategy on gender parity. To exceed requirements entities should have a senior management accountability mechanism in place. Reference to gender equality and the empowerment of women in senior manager compacts is acceptable to exceed requirements.

07. Performance Indicator: Leadership

Entities should report as per the Technical Guidance.

08. Performance Indicator: Gender-responsive Performance Management

Performance management is a centralized function in the Secretariat and entities should enter the data provided by OHRM. Entities can report on any systems of recognition they have in place to exceed requirements.

D. Human and Financial Resources


Given that all entities receive and use financial resources, “not applicable” is not an appropriate category for indicator 9. Entities that are awaiting the incorporation of a gender marker into UMOJA for example should report approaching requirements rather than not applicable. Entities which have more than 20 per cent of their funding made up from Extra-budgetary funding should develop a resource tracking system specific to these resources.


Given that all entities receive and use financial resources, “not applicable” is not an appropriate category for indicator 10. Entities that are awaiting the incorporation of a gender marker for financial resource tracking and allocation in UMOJA for example should report approaching requirements rather than not applicable. Entities which have more than 20 per cent of their funding made up from Extra-budgetary funding should develop a resource allocation system specific to these resources.

11. Performance Indicator: Gender Architecture

Entities should report as per the Technical Guidance.

12. Performance Indicator: Equal Representation of Women

Entities should report as per the Technical Guidance.

13. Performance Indicator: Organisational Culture

Entities should report as per the Technical Guidance.

E. Capacity

14. Performance Indicator: Capacity Assessment

Capacity assessment is a centralized function in the Secretariat and entities should report based on data provided by OHRM.

15. Performance Indicator: Capacity Development

Entities should report as per the Technical Guidance.
F. Knowledge, Communication and Coherence

16. Performance Indicator: Knowledge and Communication
Entities should report as per the Technical Guidance.

17. Performance Indicator: Coherence
Entities should report as per the Technical Guidance.
Annex 2: Glossary

Gender Mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality. Source: ECOSOC agreed conclusions 1997/2

Equal Representation of Women

The goal of gender balance / gender parity / the equal representation of women and men applies throughout the United Nations system, and in every department, office or regional commission, overall and at each level. Gender parity applies to all posts, without regard to the type or duration of the appointment, the series of Staff Rules under which the appointment is made, or the source of funding.

Gender Equality – Equality Between Women and Men

“Gender equality” refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men are the same but that women's and men's rights, responsibilities and opportunities do not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender equality is not a women’s issue but concerns all men, women, girls and boys. Equality between women and men is both a human rights issue and a precondition for, and indicator of, sustainable people-centred development.

Source: http://www.un.org/womenwatch/osagi/conceptsandefinitions.htm

Gender

“Gender” refers to the social attributes and opportunities associated with being male and female, and the associated relationships between women, men, girls and boys. The attributes, opportunities and relationships assigned to women and men, girls and boys, are socially constructed and are learned; they are context and time-specific, and thus subject to change. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources and decision-making opportunities.

Source: http://www.un.org/womenwatch/osagi/conceptsandefinitions.htm
Annex 3: Mandates

I. Gender-related SDG Results

A. Results-based Management

01. Performance Indicator: Strategic Planning Gender-related SDG results

A/RES/62/208\(^{56}\) calls upon the organizations of the United Nations development system, within their organizational mandates, to further improve their institutional accountability mechanisms and to include intergovernmentally agreed gender equality results and gender-sensitive indicators in their strategic frameworks.

ECOSOC Resolution 2008/34\(^{57}\) requests the United Nations system, including United Nations system agencies, funds and programmes within their organizational mandates, to promote a United Nations system-wide common understanding of a results-based management framework with benchmarks and indicators for measuring progress in the application of the gender mainstreaming strategy to achieve gender equality; and to include clear gender equality results and gender-sensitive indicators in their strategic frameworks; among others.

ECOSOC Resolution 2005/31\(^{58}\) calls on the UN system to fully incorporate a gender perspective in programme budgets and multi-year funding frameworks and into all results-based budgeting processes.

02. Performance Indicator: Reporting on Gender-related SDG results

A/RES/62/208\(^{59}\) calls upon the United Nations development system to further improve qualitative and quantitative reporting on gender equality, including gender disaggregated data.

ECOSOC Resolution 2007/33\(^{60}\) calls upon the UN system to promote the collection, analysis and use of data disaggregated by sex during programme development and evaluation of gender mainstreaming to assess progress towards achieving gender equality and the empowerment of women.

ECOSOC Agreed Conclusions 1997/2\(^{61}\) calls upon all entities of the United Nations system, making full use of the expertise and support of gender units or focal points to institutionalize mainstreaming of a gender perspective at all levels through specific steps, including through the improvement of tools for gender mainstreaming, such as gender analysis, the use of data disaggregated by sex and age and sector-specific gender surveys, as well as gender-sensitive studies, guidelines and checklists for programming.

---

56 A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 56 and 61)
57 ECOSOC Resolution 2008/34. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4). Also included in ECOSOC Resolution 2009/34
58 ECOSOC Resolution 2005/31. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4c). Mandate also included in ECOSOC Resolution 2007/33.
59 A/RES/62/208. Triennial comprehensive policy review of operational activities for development of the United Nations system (paragraph 57)
60 ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4p). Mandate also in 2008/34.
61 ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.
03. Performance Indicator: Programmatic Gender-related SDG Results*62

ECOSOC Resolution 2005/3163 calls on the UN system to fully incorporate a gender perspective in programme budgets and multi-year funding frameworks and into all results-based budgeting processes.

B. Oversight

04. Performance Indicator: Evaluation

ECOSOC Resolution 2007/3364 requests the United Nations system, including United Nations agencies, funds and programmes within their organizational mandates, to strengthen institutional accountability mechanisms, including through a more effective monitoring and evaluation framework for gender mainstreaming based on common United Nations evaluation standards.

Quadrennial Comprehensive Policy Review ECOSOC Resolution 67/226 notes the development of the norms and standards for evaluation by the United Nations Evaluation Group as a professional network, and encourages the use of these norms and standards in the evaluation functions of United Nations funds, programmes and specialized agencies, as well as in system-wide evaluations of operational activities for development. It encourages the United Nations development system to institute greater accountability for gender equality in evaluations conducted by country teams by including gender perspectives in such evaluations.

The workflow for the UN-SWAP EPI and detailed guidance for reporting on this Performance Indicator can be found in the UNEG endorsed Technical Note on the UNEG website.

05. Performance Indicator: Audit

A/RES/64/14165 encourages increased efforts by Governments and the United Nations system to enhance accountability for the implementation of commitments to gender equality and the empowerment of women at the international, regional and national levels, including by improved monitoring and reporting on progress in relation to policies, strategies, resource allocations and programmes, and by achieving gender balance

The CEB Policy on gender equality and the empowerment of women states: Enhancing oversight through improved monitoring, evaluation, audit and reporting procedures is critical to ensuring accountability of all United Nations staff, including senior and mid-level management, for their performance in gender mainstreaming.

62 *not captured in the Strategic Plan
63 ECOSOC Resolution 2005/31. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4c). Mandate also included in ECOSOC Resolution 2007/33.
64 ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a).
65 A/RES/64/141. Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly (paragraph 21).
II. Institutional Strengthening to Support Achievement of Results

C. Accountability

06. Performance Indicator: Policy

ECOSOC Agreed Conclusions 1997/2\textsuperscript{66} calls on all entities of the United Nations system, making full use of the expertise and support of gender units or focal points, to institutionalize mainstreaming of a gender perspective at all levels through specific steps, including by the adoption of gender mainstreaming policies and the formulation of specific mainstreaming strategies for sectoral areas.

A/RES/64/141\textsuperscript{67} requests the Secretary-General to review and redouble his efforts to make progress towards achieving the goal of 50/50 gender balance at all levels in the Secretariat and throughout the United Nations system, with full respect for the principle of equitable geographical distribution, in conformity with Article 101 paragraph 3, of the Charter of the United Nations, considering, in particular, women from developing and least developed countries, from countries with economies in transition and from unrepresented or largely underrepresented Member States, and to ensure managerial and departmental accountability with respect to gender balance targets, and strongly encourages Member States to identify and regularly submit more women candidates for appointment to positions in the United Nations system, especially at more senior and policymaking levels, including in peacekeeping operations.

A/67/347\textsuperscript{68} recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high-levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions; regular use of exit interviews and surveys of management and staff to identify organizational culture barriers, causes of separation and remedial measures and; full implementation of the United Nations System-wide Action Plan on Gender Equality and the Empowerment of Women, the unified accountability framework for the Organization’s work on gender equality and the empowerment of women, unanimously endorsed by CEB and welcomed by the Economic and Social Council, and mandatory annual reporting by entities.

07. Performance Indicator: Leadership

The CEB system-wide policy on gender equality and the empowerment of women (CEB/2006/2) notes that the members of the CEB: “commit ourselves to providing strong leadership within our organizations to ensure that a gender perspective is reflected in all our organizational practices, policies and programmes.”

\textsuperscript{66} ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.

\textsuperscript{67} A/RES/64/141. Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly (paragraph 21)

\textsuperscript{68} Improvement in the Status of Women in the United Nations System. Report of the Secretary-General.
08. Performance Indicator: Gender-responsive Performance Management

ECOSOC Resolution 2006/36\(^{69}\) calls on the UN system to strengthen accountability systems for both management and staff, through, inter alia, the inclusion of objectives and results related to gender mainstreaming in personnel work-plans and appraisals.

A/RES/59/184\(^{70}\) requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti-harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

D. Human and Financial Resources


Several ECOSOC resolutions\(^{71}\) have either called upon or requested the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the UN system, including by tracking gender-related resource allocation and expenditure, including through the promotion of the use of gender markers.


ECOSOC Resolution 2011/6\(^{72}\) requests the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: enhancing resource mobilization capacity and increasing the predictability of both human and financial resources for gender equality and the empowerment of women.

ECOSOC Agreed Conclusions 1997/2\(^{73}\) states that clear political will and the allocation of adequate and, if need be, additional human and financial resources for gender mainstreaming from all available funding sources are important for the successful translation of the concept into practice.

---

69 ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4).
70 GA Resolution 2005 Globalization and its impact on the full enjoyment of all human rights.
71 ECOSOC resolutions 2011/6 para 7d, 2012/28 para 8d, 2013/16 para 10d, 2014/2 para 6f, 2015/12 para 14i, on Mainstreaming a gender perspective into all policies and programmes in the United Nations system.
72 ECOSOC Resolution 2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7c and 7j).
73 ECOSOC Agreed Conclusions 1997/2. Mainstreaming a gender perspective into all policies and programmes in the United Nations system.
11. Performance Indicator: Gender Architecture

ECOSOC Resolution 2004/4\textsuperscript{74} requests all entities of the United Nations system to enhance the effectiveness of gender specialist resources, gender focal points and gender theme groups, by establishing clear mandates; by ensuring adequate training, access to information and to adequate and stable resources; and by increasing the support and participation of senior staff.

ECOSOC Resolution 2001/L.30\textsuperscript{75} requests the United Nations system, including its agencies, funds and programmes within their respective organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: enhancing resource mobilization capacity and increasing the predictability of both human and financial resources for gender equality and the empowerment of women; and ensuring progress, including through managerial and departmental accountability, towards achieving the goal of a 50/50 gender balance at all levels in the Secretariat and throughout the United Nations system, with due regard to the representation of women from developing countries and keeping in mind the principle of equitable geographical representation, in conformity with Article 101, paragraph 3, of the Charter of the United Nations.

A/64/347\textsuperscript{76} recommends that Senior managers at all entities should be held accountable, in accordance with the relevant and applicable procedures, for their responsibility in the implementation of the prescribed measures through, inter alia, enhanced performance objectives; management compacts; appointment of focal points at appropriately high-levels, with terms of reference, access to management and minimal 20 per cent allocation of time to associated functions.

\textsuperscript{74} ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 9).

\textsuperscript{75} ECOSOC Resolution 2001/L.30. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7c and 7j).

\textsuperscript{76} Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System
12. Performance Indicator: Equal Representation of Women

A/RES/72/14777, paras 29-30:

29. Requests the Secretary-General to accelerate further his efforts to achieve the goal of 50/50 gender balance at all levels throughout the United Nations system, including in the field and in peacekeeping missions, with full respect for the principle of equitable geographical distribution, in conformity with Article 101, paragraph 3, of the Charter of the United Nations, considering, in particular, women from the developing and the least developed countries, countries with economies in transition and unrepresented or largely underrepresented Member States, and to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets;

30. Calls upon the United Nations system to significantly increase its efforts towards achieving the goal of 50/50 gender balance, including with the active support of gender focal points and up-to-date statistics to be provided annually by entities of the United Nations system, including on the number and percentage of women and their functions and nationalities throughout the United Nations system, as well as information on the responsibility and accountability of the offices of human resources management and the secretariat of the United Nations System Chief Executives Board for Coordination for promoting gender balance, and requests the Secretary-General to provide an oral report to the Commission on the Status of Women at its sixty-second and sixty-third sessions and to report to the General Assembly at its seventy-fourth session on the improvement of the status of women in the United Nations system and on progress made and obstacles encountered in achieving gender balance, under the item entitled “Advancement of women”.

77 General Assembly Resolution, Follow-up to the Fourth World Conference on Women and full implementation of the Beijing Declaration and Platform for Action and the outcome of the twenty-third special session of the General Assembly, 19 December 2017.
13. Performance Indicator: Organisational Culture

A/RES/59/184 requests the Secretary General and the executive heads of the organizations of the United Nations system to ensure that recruitment strategies, promotion and retention policies, career development, justice, anti-harassment and sexual harassment policies, human resources and succession planning, work/family policies, management culture and mechanisms for managerial accountability accelerate the goal of 50/50 gender distribution.

A/RES/55/69 requests the Secretary-General …to intensify his efforts to create, within existing resources, a gender-sensitive work environment supportive of the needs of his staff, both women and men, including the development of policies for flexible working time, flexible workplace arrangements and child-care and elder-care needs, as well as the provision of more comprehensive information to prospective candidates and new recruits on employment opportunities for spouses and the expansion of gender-sensitivity training in all departments, offices and duty stations.

A/64/34778 recommends that executive heads of entities should place special emphasis on the promulgation and enhanced implementation of work-life policies and practices to meaningfully support flexibility in the workplace and to accommodate disproportionate caregiver burdens.

A/RES/72/147 “requests the Secretary-General… to ensure the implementation of measures, including temporary special measures, as well as the strengthening of the implementation of policies and measures for work-life balance and to prevent and address harassment and abuse of authority in the workplace, so as to accelerate progress, and managerial and departmental accountability with respect to gender balance targets”.

E. Capacity

14. Performance Indicator: Capacity Assessment

ECOSOC Resolution 2011/679 requests the United Nations system, including its agencies, funds and programmes within their organizational mandates, to continue working collaboratively to enhance gender mainstreaming within the United Nations system, including by: improving the application of a gender perspective in programming work and enhancing a broader approach to capacity development for all United Nations staff, including the Secretariat staff, including through working on guidelines which could provide specialized instructions on gender mainstreaming and serve as performance indicators against which staff could be assessed; and ensuring that all personnel, especially in the field, receive training and appropriate follow-up, including tools, guidance and support, for accelerated gender mainstreaming, including by providing ongoing capacity development for resident coordinators and the United Nations country teams to ensure that they are better able to assist national partners in achieving gender equality and the empowerment of women through their development frameworks.

78 Report of the Secretary-General on the Improvement in the Status of Women in the United Nations System
79 ECOSOC Resolution E/2011/6. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 7e and 7h).
15. Performance Indicator: Capacity Development

ECOSOC Resolution 2006/36\textsuperscript{80} calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to make specific commitments annually to gender mainstreaming training, including in core competence development, and ensure that all gender equality policies, strategies and action plans include such commitments; and to make gender training mandatory for all staff and personnel and develop specific training for different categories and levels of staff.

F. Knowledge, Communication and Coherence

16. Performance Indicator: Knowledge and Communication

ECOSOC Resolution 2007/33\textsuperscript{81} calls upon the United Nations system to share and disseminate good practices, tools and methodologies electronically and through regular meetings on gender mainstreaming, including through the Inter-Agency Network on Women and Gender Equality and its task forces, as well as the United Nations country teams.

A/RES/58/144\textsuperscript{82} welcomes the objective of improving gender balance in action plans on human resources management for individual departments and offices, and encourages further cooperation, including the sharing of best practice initiatives, between heads of departments and offices, the Special Adviser on Gender Issues and Advancement of Women and the Office of Human Resources Management of the Secretariat in the implementation of those plans, which include specific targets and strategies for improving the representation of women in individual departments and offices.

17. Performance Indicator: Coherence

COSOC Resolution 2006/36\textsuperscript{83} calls upon all entities of the United Nations system, including United Nations agencies, funds and programmes, within the United Nations Staff Development programme budget and other existing United Nations training budgets, without prejudice to the achievement of other training priorities, to create or expand electronic knowledge networks on gender mainstreaming to increase effective support for and follow-up to capacity-building activities; strengthen inter-agency collaboration, including through the work of the Inter-Agency Network on Women and Gender Equality, to ensure systematic exchange of resources and tools across the system to promote cross-fertilization of ideas.

ECOSOC Resolution 2004/4\textsuperscript{84} recommends that all entities of the United Nations system continue to promote cooperation, coordination, sharing of methodologies and good practices, including through the development of tools and effective processes for monitoring and evaluation within the United Nations, in the implementation of agreed conclusions 1997/2, in particular through the Inter-agency Network on Women and Gender Equality, and recommends further that all inter-agency mechanisms pay attention to gender perspectives in their work.

---

\textsuperscript{80} ECOSOC Resolution 2006/36. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4 a and c).
\textsuperscript{81} ECOSOC Resolution 2007/33. Mainstreaming a gender into all policies and programmes in the United Nations system (paragraph 4a and c).
\textsuperscript{82} GA Resolution 58/44. Improvement of the status of women in the United Nations system.
\textsuperscript{83} ECOSOC Resolution 2006/36. Mainstreaming a gender perspective into all policies and programmes in the United Nations system (paragraph 4d).
\textsuperscript{84} ECOSOC Resolution 2004/4. Review of Economic and Social Council agreed conclusions 1997/2 on mainstreaming the gender perspective into all policies and programmes in the United Nations system (paragraph 12).