Gender Self-Assessment Guide for the Police, Armed Forces and Justice Sector

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CHAPTER 1: INTRODUCTION

OVERVIEW

This self-assessment guide is a tool for assessing the gender responsiveness of a security sector institution. While it can be used by other security sector institutions, it is particularly designed for use by police services, armed forces and justice sector institutions. A gender-responsive security sector institution is one that both meets the distinct and different security and justice needs of men, women, boys and girls and promotes the full and equal participation of men and women.

This guide leads you through an eight-stage process to conduct an assessment of your institution, create an action plan to move your organisation forward, and monitor and evaluate the plan's implementation.

1. Consider benefits and risks
2. Obtain the proper authorisation
3. Organise the work
4. Tailor the self-assessment process
5. Collect the information
6. Analyse and report on findings
7. Develop a gender action plan
8. Monitor, evaluate and adjust

To carry out the assessment, your organisation brings together a working group, which would be led by your gender focal point (if you have one), equality officer or someone else.

The working group uses techniques such as interviews, questionnaires, focus groups and document review to collect information on 16 dimensions of gender responsiveness (see sidebar on page 2). These 16 dimensions are grouped by subject area into six themes.

A) Performance effectiveness
B) Laws, policies and planning
C) Community relations
D) Accountability and oversight
E) Personnel
F) Institutional culture

The self-assessment and action planning is likely to take four to six months.

After going through this assessment process you will have:

✓ an **assessment report** that gives an overview of your institution's gender responsiveness, including key strengths and challenges, and is a baseline for discussion and planning

✓ a **gender action plan** with monitoring and evaluation mechanisms.

Outline for gender self-assessment

1. Think through benefits and risks

⇩

2. Obtain authorisation to go ahead

⇩

3. Organise the assessment (timelines, responsibilities, communications)

⇩

4. Tailor the self-assessment process

⇩

5. Collect information (e.g. document review, interviews, focus groups, questionnaires)

⇩

6. Analyse and report

⇩

7. Develop a gender action plan

⇩

8. Monitor, evaluate and adjust

WHY UNDERTAKE AN INSTITUTIONAL GENDER SELF-ASSESSMENT?

Focusing on gender – the social differences and social relations between men and women – helps a security sector institution to improve its responsiveness to the communities it serves, boost operational effectiveness, diversify and get the best from its personnel and meet the highest standards of professional accountability. It also helps to meet obligations under international law, including UN Security Council Resolution 1325 and the Convention on the Elimination of all forms of Discrimination against Women (CEDAW).

Conducting a gender assessment can be a first step in transforming into a gender-responsive security sector institution – one that meets the different security and justice needs of men, women, boys and girls, and promotes the full and equal participation of men and women. If you have already taken steps towards this goal, this assessment will assist you to find out how well you are doing.

A gender assessment helps you to:

✓ identify the institutional resources that you already have to address gender issues, in terms of skills, knowledge, mandates, policies and procedures

✓ identify what is and is not working well in meeting the needs of women, men, girls and boys in the communities that you serve

✓ identify training and equipment needs

✓ get baseline data against which to monitor and evaluate progress

✓ demonstrate to your staff your commitment to excellent working conditions and fair opportunities

✓ understand why male and female staff leave

✓ identify existing good practices in supporting the equal recruitment, retention and advancement of women and men

✓ demonstrate to your local community, government and other stakeholders your commitment to meeting human rights and gender equality commitments

✓ strengthen partnerships with communities, non-governmental organisations (NGOs) and complementary service providers

✓ develop realistic goals and practical strategies to become more gender responsive.

16 dimensions of gender responsiveness

The self-assessment looks at 16 dimensions of gender responsiveness, grouped under six themes.

Theme A: Performance effectiveness
1. Capacity and training
2. Access to services
3. Data on gender-related crime

Theme B: Laws, policies and planning
4. National, regional and international laws and standards
5. Institutional policy, procedures and coordination

Theme C: Community relations
6. Public perceptions
7. Cooperation and consultation with the public

Theme D: Accountability and oversight
8. Complaints against security sector personnel
9. Internal and external oversight

Theme E: Personnel
10. Recruitment and selection
11. Retention
12. Assignments, deployment, promotion and remuneration
13. Mentoring and support
14. Infrastructure and equipment

Theme F: Institutional culture
15. Understanding of gender issues and relations between male and female personnel
16. Leadership and public presentation

Advantages of being gender responsive

- Being more effective in meeting the needs of the communities you serve
- More productive work environment
- Fewer problems with sexual harassment and discrimination
- Improved accountability structures
- Higher public trust and improved cooperation
- Increased national, regional and international standing

WHO IS THIS GUIDE FOR?

This self-assessment guide is designed to be used by **police services**,[1] **armed forces** and **justice sector institutions**. It is general enough that it can be used in any country, whatever its stage of development and whether affected by conflict or not, and at local as well as national levels.

The guide can also be used as an assessment tool by external actors interested in how gender issues are being addressed by the police service, armed forces or justice sector. Such actors might include international and regional institutions, parliamentary oversight bodies, national human rights bodies, ombuds institutions, civil society organisations and independent researchers. In addition, people designing programmes to support reform within security sector institutions will find this institutional self-assessment guide useful in highlighting relevant gender issues. Where an assessment is carried out by an external actor, this should ideally be in full partnership with the relevant security sector institution, as this guide assumes that there is sufficient support from within the institution to enable data collection and follow-up.

> This self-assessment guide does not contain content specific to the **penal system**, as there are detailed international standards regarding treatment of offenders. Assessments concerning women in pre-trial detention and female offenders should be guided by, among other things, the *United Nations Rules for the Treatment of Women Prisoners and Non-custodial Measures for Women Offenders*.

This institutional self-assessment guide is designed to be simple to use, requiring users to have only basic assessment expertise. Users should understand the concepts of gender and sex discrimination, but do not have to be 'gender experts'. It recommends collecting data from a variety of sources – including interviews, focus groups and document review. It is not a statistical assessment tool: while it contains a number of quantitative measures to serve as baseline data, its focus is on gathering qualitative information. The guide is a flexible resource that is designed to be adapted to the specific context of the assessment.

INTERNAL OR EXTERNAL ASSESSMENT?

This guide is written primarily with the view that the assessment will be conducted by a working group inside the institution. However, there can be advantages to having the assessment conducted by an external team. The following table, adapted from the tool 'Security Sector Reform Assessment, Monitoring & Evaluation and Gender' in the DCAF/OSCE-ODIHR/UN-INSTRAW *Gender and Security Sector Reform Toolkit*, sets out some of the pros and cons. In either case, a gender assessment should be a participatory process that has the buy-in of the leadership of the institution and the potential to institutionalise changes based on the findings.

	Advantages	Disadvantages
Internal assessment team	✓ May be less expensive and more straightforward. ✓ Knowledge of internal structures, procedures and hierarchies. ✓ May be taken more seriously, depending upon the seniority and influence of working group members.	✗ Inexperience in conducting gender assessments. ✗ Lack of independence. ✗ Fear of being too critical. ✗ Potential barriers to collecting information from persons of higher rank and/or different divisions.
External assessment team	✓ More independent point of view, potentially broader perspective. ✓ No fear of consequences when being critical about internal processes. ✓ Expertise and experience in conducting gender assessments.	✗ Lack of understanding of how the institution works. ✗ Potentially less able to enlist staff cooperation in and ownership of the process. ✗ Lack of a common vision/goal and potentially more limited interpretation of outcomes.

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1 In this guide, 'police' is the generic word for all institutions with legal coercive powers. Besides civilian police services, it includes gendarmeries (military police forces created on the French model, whether referred to as 'gendarmerie' or named 'guardia civil', 'carabinieri', 'carabineros', etc.).

TERMS AND TERMINOLOGY

This is a 'gender' self-assessment guide. As such, it is different from assessment tools that look only at issues affecting women: it looks at men, women, boys and girls.

'**Gender**' refers to the social differences and social relations between men and women. Gender, along with ethnicity, age, class, religion and other social factors, determines the roles, power and resources for females and males in any culture, and the power relations between men and women. Gender roles are learned, rather than (like sex) determined by biology. Although gender roles are deeply rooted in every culture, they also change over time and have wide variations within and between cultures. Historically, attention to gender relations has been driven by the need to address the particular needs and opportunities of women, compared to men. Increasingly, however, it is recognised that it is also important to look at the needs and roles of men and boys in any culture or organisation.

> Thinking about **gender** in relation to a security sector institution highlights various questions.
>
> - *How does the institution treat women and men as employees?*
> - *How does the institution treat women, men, girls and boys who are trying to use its services?*
> - *Do women and men participate equally in decision-making within the institution?*
>
> Using this self assessment guide helps to answer these questions.

This self-assessment guide refers to doing '**gender analysis**'. This means collecting and analysing information about women and men, including on their social roles and their access to and control of resources. For a security sector institution, a gender analysis could be a process of gathering information on the different types of insecurity that threaten women, girls, men and boys, and on how each of these groups interacts with the institution. Gender analysis is a necessary tool for gender mainstreaming.

'**Gender mainstreaming**' simply means assessing the implications for women and men of any planned action – whether it is a new recruitment campaign, a change to human resources policy or an operational directive. Gender mainstreaming 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 any initiative, so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.[2]

This self-assessment guide refers in many places to '**gender-based violence**'. Gender-based violence means any harmful act that is perpetrated against a person's will and is based on socially ascribed (gender) differences between females and males.[3] Gender-based violence includes family violence, trafficking for sexual exploitation, sexual violence and genital mutilation – these tend to affect women and girls more than men and boys. It also includes forms of violence that particularly affect men and boys, such as gang violence, male rape and trafficking for forced labour. A list of different forms of gender-based violence is given in Appendix 1. Not all forms of gender-based violence are considered criminal acts in all countries. The self-assessment guide uses the term '**gender-related crime**' to describe acts of gender-based violence that are criminalised under national law.

See the Tool on Security Sector Reform and Gender in the *Gender and Security Sector Reform Toolkit* for a more detailed discussion of these concepts.

> A **gender-responsive security sector institution** is one that meets the different security and justice needs of men, women, boys and girls, and promotes the full and equal participation of men and women.

We define a **gender-responsive security sector institution** as one that meets the different security and justice needs of men, women, boys and girls, and promotes the full and equal participation of men and women. A gender-responsive security sector institution has processes to identify the particular needs of different groups of men, women, boys and girls within the community. It then takes steps to meet those needs; and monitors and evaluates the impact. In a gender-responsive security sector institution, both male and female employees are valued, promoted and supported in balancing their professional and family responsibilities. A gender-responsive security sector institution works in partnership with men and women in local communities to understand and meet local needs better. It has strong and transparent accountability processes for dealing with any problems of discrimination or sexual harassment.

Steps to becoming more gender responsive can include undertaking an institutional gender self-assessment, developing a gender policy, reviewing recruitment and job descriptions, offering staff training in gender issues and analysis, and developing and implementing a gender action plan.

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2 Adapted from *Report of the UN Economic and Social Council for 1997* (A/52/3, 18 September 1997).
3 IASC, *Gender Handbook for Humanitarian Action. Women, Girls, Boys & Men – Different Needs, Equal Opportunities*, 2006, p. 12.

EXAMPLE 1: THE NEW ZEALAND DEFENCE FORCE'S GENDER INTEGRATION AUDIT

In 1998 the New Zealand Defence Force (NZDF) contracted the New Zealand Human Rights Commission to carry out a gender integration audit. This arrangement developed after discussions between the commission and the NZDF arising from a complaint of sexual harassment within the New Zealand navy. The purpose of the audit, as stated in its terms of reference, was 'to identify the philosophy, policies, and practices which underpin progress within the NZDF towards the integration of women at all levels and in doing so to identify any cultural, social or institutional barriers which impede the progression of women within the NZDF on a merit basis'. The audit also examined how different approaches to gender integration influenced force effectiveness.

The gender integration audit emphasised a qualitative methodology in order to look at attitudes to gender relations and women's integration. Its methodological approach comprised three strategies.
- *Document and literature review* – of sources relevant to both New Zealand and abroad.
- *Focus groups and interviews* – 26 focus group discussions with 233 people, and individual interviews with 46 male and female members of the NZDF, the military and civilian society.
- *Analytical interpretation* – information gathered in the focus group discussions and interviews was compiled into a database of information, observations, views and opinions.

The audit report's recommendations were organised into the following categories.
- Attitudinal and perceptual barriers to gender integration.
- Physical standards, clothing and equipment.
- Family-friendly policies and practices.
- Gender and sexual harassment.
- Human resource management policies and practices.
- Leadership on and management of gender integration.
- Equal employment opportunity.

The report of the gender integration audit was accepted in its entirety by the chief of the Defence Force. A raft of initiatives was introduced in response to gaps identified in the audit, firstly to create a safe workplace for women, then to remove all barriers to women accessing and succeeding in the services (in 2000 the NZDF opened all combat roles to women) and finally to introduce work-life initiatives for all personnel.

In 2005 the NZDF commissioned an independent review of progress in implementing its recommendations. This review found that there had been significant advances in gender integration, with increasing numbers of women in the army, navy and air force; a steady increase in retention of female personnel; a steady increase in women at higher levels; and a culture more accepting of women. There were improvements in the way harassment issues were responded to, with harassment increasingly seen as an issue of fairness rather than gender. Harassment complaints had decreased dramatically from 129 in 1997 to 34 in 2004. There was improved career flexibility for personnel with families. The review identified that initiatives designed to integrate women in the services also benefited other minority groups.

In 2007 the NZDF was selected as the public sector winner of the New Zealand Equal Employment Opportunities Trust's Diversity Award for its proactive and innovative approach to redressing gender imbalance and achieving acceptance of women at all levels.

Sources
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CHAPTER 2: HOW TO CARRY OUT THE INSTITUTIONAL SELF-ASSESSMENT

TIMELINE

The institutional self-assessment described in this guide consists of eight stages. How long each stage takes will vary from institution to institution, depending upon such factors as its size, geographical spread and complexity; the human and other resources dedicated to the assessment; and accessibility of data and whether or not the information sought has been collected before.

INDICATIVE TIMELINE

This timeline is *simply an indication* that can help you think ahead through the different stages.

1. Consider benefits and risks	1 week
2. Obtain the proper authorisation	1 month
3. Organise the work	1–2 weeks
4. Tailor the self-assessment process	1–2 weeks
5. Collect information	1–3 months
6. Analyse and report on findings	2–3 weeks
7. Develop a gender action plan	2–3 weeks
8. Monitor, evaluate and adjust	Ongoing

Need help?

There are many sources of support and expertise that can help you conduct your gender self-assessment. Consider:

- people with experience of conducting assessments and data analysis within other government agencies, universities and NGOs, or who work as consultants
- gender experts within state gender institutions, universities and NGOs
- international organisations and NGOs.

Don't hesitate to get in touch with DCAF if you need some advice on getting started. Contact us at: gender@dcaf.ch.

STAGE 1: CONSIDER BENEFITS AND RISKS

Conducting a gender self-assessment offers many benefits to an institution. It demonstrates to staff, the public, the government and other stakeholders that your institution is serious about improving the quality of its services and meeting the highest professional standards. It provides a basis from which to recognise and reinforce progress already made on gender issues, while promoting dialogue on areas where change is still needed.

It is important to think also about any possible negative consequences of conducting a gender self-assessment and how these can be mitigated. For example, if the assessment shows that the institution is a difficult place for women to work and this finding is made public, fewer women may apply. Conducting a gender assessment where there are no resources or commitment to follow it up with a programme of improvement risks raising false expectations. How the purpose and expected outcomes of the assessment are communicated is very important (discussed further at Stage 3).

TIP 1: Strategies to build internal support for gender initiatives

- Emphasise the advantages of being gender responsive.
- Identify male and female 'gender champions' who will educate and convince other decision-makers.
- Share examples of successful gender initiatives in similar institutions.
- Point to the international attention being paid to gender and security, including by the UN Security Council and development donors.
- Consider whether NGO/ community advocacy would be useful.

A gender self-assessment is most useful for an institution that is committed to become more gender responsive, is ready to dedicate resources toward this and is trying to understand where it should focus. If this is not the case, it might be better to start instead with a process of dialogue and advocacy within the institution to create a shared understanding of the meaning and benefits for the institution of being gender responsive.

STAGE 2: OBTAIN THE PROPER AUTHORISATION

Conducting a gender self-assessment requires allocation of sufficient resources, including staff time, and access to the records and personnel of the security sector institution being assessed. As such, it is important that those conducting the assessment – whether they are within the institution or outside it – do so with proper authorisation and support from the institution's leadership. Authorisation is also an expression of the political will within the institution to listen to and act upon the findings of the assessment.

Senior leadership should make or issue a clear statement of support for the assessment that includes:

- the objectives of the assessment
- the benefits for the institution of conducting the assessment
- who is responsible for conducting the assessment
- the expected products and outcomes
- who the assessment report will be shared with, including whether it will be public (while ideally the assessment is an open process involving representatives from other institutions and civil society, the institution may decide that the assessment report will not be made public and/or will be limited in circulation within the institution)
- encouragement to participate fully and honestly in data collection
- ideally, a commitment to follow up the assessment with an action plan (Stage 7)
- the contact person for more information on the assessment process.

> **Sample objectives for a gender self-assessment**
>
> - *Armed forces*. Identify barriers to women's deployment in peacekeeping missions and strategies to overcome them.
> - *Police*. Identify ways to improve responses to sexual violence against men, women, boys and girls.
> - *Justice sector*. Identify ways to support access to justice by women, including ethnic minority and refugee women

STAGE 3: ORGANISE THE WORK

Who?

Designate a **project leader** for the institutional self-assessment process. This project leader will coordinate the working group in collecting information and developing the assessment report. S/he will also be responsible for regularly reporting to more senior levels on the progress of the assessment. The project leader should have a solid understanding of concepts of gender and sex discrimination.

If the assessment is being conducted by an external actor (for example, an ombuds institution or a civil society organisation), the project leader might be from this external body. The leader would need to work in close collaboration with an identified focal point for the assessment within the institution.

Establish the **self-assessment working group**. The suggested size of the group, depending upon your institution size, is six to ten people. Larger than this, such groups tend to lack momentum. The composition of the working group should be based on both representation and expertise. Representatives of all parts of the institution should be included in the group, including from the departments responsible for gender, equal opportunities, human resources, training, policy development and community liaison. This aids buy-in to the process and access to relevant personnel and documents, and ensures the self-assessment process has visibility across the entire institution. It can be very useful to have at least one member of the working group either with a leadership role in the institution or with a direct link to senior leadership, to ensure continued buy-in at senior levels. The working group could also include a representative of civil society (such as from a human rights NGO, the Women Lawyers' Association or the national women's network) and/or from a community liaison body. External stakeholders can be important sources of information, and involving them in the assessment can

> **TIP 2: Using consultants**
>
> A consultant might help you with the self-assessment – for example, someone experienced in conducting assessments or analysing data. However, the consultant should only *support*, not lead, the process.

> **Checklist of working group members**
>
> ✓ Project leader
> ✓ Equality/gender officer(s)
> ✓ Member of senior management – or link to senior management
> ✓ Representatives of all major departments, including human resources
> ✓ Civil society representative(s) and/or community liaison
> ✓ Gender ministry
> ✓ Person(s) with experience in survey research, interviewing and communications

help build trust within and collaboration with the community. It could also be helpful to include a representative of the ministry with responsibility for women/gender equality. Thinking about the working group's skills, try to include individuals experienced in survey research, interviewing and communications.

If the institution already has a gender working group in place, this group might take responsibility for conducting the assessment. If this is the case, consider whether some extra members should be brought into the working group for the assessment to ensure ownership and visibility across the institution.

Members of the working group need to be able to take time out from their usual tasks to dedicate to the institutional self-assessment. It might be necessary to ensure explicit approval for each member to do this.

How?

Convene a full-day **meeting of the working group** to introduce all members of the group, plan the assessment process and assign tasks.

Workplan. Review each stage of the self-assessment process and develop a workplan. This should include **responsibilities and deadlines** for tailoring the self-assessment process, collecting information and drafting the report. The working group may decide to assign responsibilities for different aspects of the assessment process to one or more subgroups. Consider any potential **obstacles** to the assessment – information that may be difficult to access, or individuals who may be uncooperative – and come up with strategies to overcome them. If necessary, prepare a **budget**. Appendix 2 is an example of a workplan for an assessment.

Communications. Develop a plan of what to **communicate** to the wider organisation about the assessment: for example, the rationale for the assessment, what stages are involved, the timeline and eventually the findings. As noted at Stage 1, undertaking an assessment creates expectations of something happening to follow it up, so one should also make clear the limitations and potential beneficial outcomes of the process. It can be useful to draw up a communications strategy that maps out what needs to be communicated to whom, how to communicate it and at what intervals. At a minimum, develop some standard information about the assessment to be shared within the institution, with the public and with anyone taking part in the assessment.

Guidelines. Establish clear guidelines concerning **attribution versus anonymity of information** collected. For example, are all interviewees to be identifiable in the final report? Should individuals inside or outside the institution be able to participate anonymously? If so, what systems will be in place to protect their anonymity? Give careful consideration as to whether participating in the assessment might have negative consequences for a person, and what steps could be taken to protect against this. (For example, a person may fear that criticising the institution would undermine his/her prospects for promotion. Using an external interviewer or anonymous survey could guard against this.) The working group might establish a way for staff to contribute information anonymously to the assessment, for example by dropping notes into a special mail box.

Leadership buy-in. Hold a **meeting or series of meetings with all relevant departmental heads** to explain the assessment process and what resource commitments will be asked of their staff, introduce the members of the self-assessment working group and reinforce management-level support for the process. Organise a **briefing for a broader body of staff** to explain the assessment process and what cooperation will be asked of them and when.

Checklist for gender self-assessment planning meeting

✓ Introductions
✓ Confirm objectives/terms of reference
✓ Review the steps in the self-assessment
✓ Review the questions in Chapter 3 and discuss how information will be collected
✓ Develop timelines for tailoring the assessment, data collection, analysis and report writing
✓ Prepare a budget
✓ Assign tasks with deadlines, including:
  • choose which questions to ask
  • design tools to collect information (e.g. interviews, questionnaires)
  • develop a communications strategy
  • develop systems to protect anonymity
✓ Consider obstacles and strategies to overcome them
✓ Plan meetings with departmental heads and general staff
✓ Set up regular meetings of the working group

Essential elements of a communications strategy

✓ **Content**
What you need to tell staff about the gender self-assessment
✓ **Medium**
How you will tell staff about the gender self-assessment
✓ **Target group**
Which staff you need to tell
✓ **Messenger**
Who will tell it
✓ **Timeline**
When you will tell it and how often

Adapted from the Interaction *Gender Audit Handbook*, p. 23. See also page 66 of the *Handbook* for guidance on developing a communications strategy.

Such meetings may need to be repeated at regional levels. Staff meetings are a good opportunity for leaders to promote the process, giving their stamp of approval and support for staff participation.

Scheduling. Set up **regular meetings** of the working group (for example, weekly or every two weeks). Make sure that everyone is clear about how long meetings will last, where they will be held and what work they will be expected to have completed before each meeting.

STAGE 4: TAILOR THE SELF-ASSESSMENT PROCESS

What questions to ask?

Chapter 3 of this self-assessment tool contains sample questions for the self-assessment working group to use – for example, in interviews, questionnaires or focus groups. The questions relate to 16 dimensions of gender responsiveness (see sidebar on page 2). The 16 dimensions of gender responsiveness are grouped by subject area into six themes
> A) Performance effectiveness
> B) Laws, policies and planning
> C) Community relations
> D) Accountability and oversight
> E) Personnel
> F) Institutional culture

Some of the questions ('Questions for all security sector institutions') are general in nature and applicable (with adaptation, if necessary) to all security sector institutions. Extra questions are then given for armed forces, police and justice sector institutions.

Some of the questions ask for quantitative data (numbers and amounts) and some for qualitative data (relating to what something is like). Both types of data are necessary. Quantitative data (for example, number of female personnel, proportion of male rape complaints that are prosecuted) give you a point (or a 'baseline') against which to compare change in the future. Qualitative data (for example, why female personnel leave, why male rape cases are not prosecuted) are necessary to analyse and understand quantitative data, and to work out what changes are needed.

Chapter 3 is not intended to be used as a questionnaire to be completed in its entirety by any one person or by the self-assessment working group. The scope of such a task would be beyond the resources of most institutions. The working group should choose and adapt questions to fit the purposes of its assessment and its own institution, as well as the time and resources it has for the assessment. It is recommended that each of the 16 dimensions is included in the institutional self-assessment, to get a complete overview of gender responsiveness. Under the 16 dimensions, the working group may wish to add further questions to examine issues of particular interest or amend or remove questions to fit its own context.

How to ask the questions?

There are different ways to gather the information for the institutional self-assessment. These are discussed under Stage 5. The working group should decide which techniques to use depending upon the assessment's goals and the time and resources that the working group has available. For example:
- if the working group is small and resources few, it may choose only to do a document review and interview some key staff and a couple of NGOs
- if the working group has more resources, it might also develop a short staff questionnaire (up to 20 questions), conduct focus groups and interview a range of community groups.

TIP 3: Choosing the questions to fit your institution

✓ Look at all of the 'Questions for all security sector institutions' plus the extra questions for the type of institution you are assessing.

✓ Include some questions on each one of the 16 dimensions of gender responsiveness.

✓ Include both quantitative (numbers and amounts) and qualitative (relating to what something is like) questions.

✓ Include questions on any organisational policies or commitments on gender equality.

✓ Include questions on any special services/teams for gender-related crime.

✓ If there have been gender assessments and plans before, include questions to assess the barriers to their implementation.

✓ If there is little information already available and few resources, focus on what you consider the most important questions in each dimension.

✓ If policing and justice services for men, women, boys and girls are generally poor, focus on the main problems, but still try to include each of the 16 dimensions.

✓ If you don't deploy personnel to peacekeeping, ignore questions on peacekeeping.

Some of the techniques presented under Stage 5 require particular resources and expertise to carry out. Focus groups, for example, should ideally be led by experts who can manage the group dynamics to avoid domination by particular individuals or a false appearance of consensus. Likewise, community group interviews require skilled facilitators, resources to bring a group together and time for planning each meeting.

Some sources of information are suggested under each set of questions in Chapter 3. These lists are not exhaustive or prescriptive. However, where possible, do use more than one source or method of data collection to cross-check results.

Engage as much of the institution as possible in the self-assessment. The assessment is an opportunity to build visibility, understanding and support for gender responsiveness throughout the whole institution, including at leadership levels, and to gather input for the eventual gender action plan. Although they are important, look beyond gender units and human resources and training departments. Also involving external stakeholders in the assessment is a means to consult with women, men and marginalised groups within the community; to strengthen alliances with women's organisations and NGOs providing support services; and to engage positively with local communities.

STAGE 5: COLLECT THE INFORMATION

The following are likely to be the main ways that the working group will collect information for the assessment.

A. **Review of documents:** for example, national policies; institutional policies, procedures, training curricula, handbooks and reports; institutional website; newspaper articles; reports by local and international NGOs; previous assessments; existing surveys of women's and men's perceptions of security and justice.

Ways to collect information
✓ Document review
✓ Interviews
✓ Questionnaires
✓ Focus groups
✓ Site visits
✓ Community group interviews
✓ Surveys

B. **Key informant interviews:** with personnel within the institution and outside of it, selected for their knowledge and experience in relation to the assessment issues. Interviews are primarily qualitative, in-depth and semi-structured. The interviewer guides each interview through a list of major topics and issues. Between 15 and 35 interviews would be anticipated. Appendix 3 sets out advice on conducting interviews.

Interviews might be conducted with:
- senior staff; staff responsible for recruitment; staff responsible for complaints on discrimination issues; staff leading units focused on gender-based crime; female staff association; internal oversight bodies
- people outside the institution – in the relevant ministry; external oversight bodies (for example ombudsperson's office or human rights commission); women's organisations; human rights organisations.

> **TIP 4: Interviews**
>
> Consider using an interviewer outside of the institution, or even someone from a different office or division. People may speak more freely to someone outside their own department or chain of command.

C. **Questionnaires:** distributed to selected personnel, to a representative sample of staff, to former staff or to, for example, local women's organisations, youth groups and NGOs. If questionnaire subjects have internet access, online survey tools such as SurveyMonkey can be useful and help to protect anonymity. You may need to devote a lot of time to chasing up responses. Questionnaires will not be appropriate, or must be kept very simple, where subjects do not have a high degree of literacy.

Where there is little existing documentation, where questions of staff and public perceptions are involved and where information is otherwise difficult to find, more creative information gathering may be necessary. Some other techniques include the following.

D. **Focus group discussions:** a skilled facilitator guides between seven and 12 selected participants in a discussion of their perceptions, opinions, beliefs and attitudes about a topic, working through issues identified in a discussion guide or list of questions. Instead of asking direct questions, the facilitator might use participatory exercises, for example asking participants to rank issues by importance or draw linkages between actors. The facilitator must take care not to impose her or his own views. Note-takers record comments and observations. Sessions typically last one to two hours. Appendix 4 is an example of guidelines for a focus group.

Try to have separate focus groups for the different groups that you want to get information from (for example, senior-level staff, service users, recent recruits). It might be relevant to hold focus groups in different regions, or with personnel of different ranks. Separate focus groups with men and boys and with women and girls should be considered, to ensure that each group is able to express their views as freely as possible.

Focus groups can be a good way to gather qualitative information, and participants may raise issues that you have not thought of yet. They can be particularly useful where there is likely to be inadequate documentation, such as on questions relating to institutional culture. However, one must take care not to treat a focus group's opinions as representative of any broader group.

E. **Site visits:** for example, to police stations, court buildings and places where services for victims of gender-based violence are provided.

F. **Community group interviews:** a series of questions and facilitated discussion in a meeting open to community members. The interviewer follows a carefully prepared questionnaire. Separate meetings could be held with women and men, and with women and men from particular marginalised groups.

G. **Mini-survey:** a structured questionnaire with a small number of yes/no questions that is administered to 25–75 people. You might conduct such a survey with people using a police station, court or services for victims, or with male or female personnel, for example. (Be aware that although a mini-survey may generate quantitative data, these cannot be generalised – your sample is not representative of the entire population.)

H. **Comprehensive surveys:** administered to a carefully selected sample, so as to produce results that can be generalised to a wider population. Such surveys might examine a particular issue of concern to the institution, such as obstacles to women's recruitment, or may try to measure public opinion on the security sector institution or the overall quality of its service delivery.[4] Comprehensive surveys are technically quite complex, and require trained researchers to develop and conduct them, but can provide more reliable information.

In planning focus groups and community group interviews, think about whether you need to make special arrangements to ensure that women and girls can participate – such as organising transport or childcare. Ensure that sessions are scheduled at times and places convenient for the men and women you hope to consult.

Anyone taking part in the assessment should understand how the information they give will be used, in particular whether their information will be attributed to them, and what other sources of information are being consulted.

When collecting data, record whether the information came from a man, woman, boy or girl, and their age group (i.e. sex- and age-disaggregated data) so that you can analyse the differences between the groups. Depending upon your context, it might also be important to record other characteristics, such as institutional rank and affiliation, religion, language group or ethnicity.

STAGE 6: ANALYSE AND REPORT ON FINDINGS

At the analysis stage, it may be necessary to confer with individuals previously interviewed and do other types of follow-up regarding issues that remain unresolved or unclear. Use your sex-disaggregated data to try to understand the differences between how men and women have responded to questions, and in the types of needs and opinions that they have expressed.

The working group should consolidate its findings into a draft report. The report should seek to highlight the institution's strengths, resources and existing good practice in gender responsiveness, as well as key areas for improvement. Try to present a coherent 'big picture' of the institution. Presenting recommendations helps to guide the institution towards positive future action.

> **Tip 5: Summarise**
>
> Make a short executive summary of your report. In the main report, using summary tables, boxes and appendices can help to present your findings in a more readable way.

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4 Public opinion or public perception surveys assess the aggregate of individual attitudes or beliefs held by a target population, often by selecting a sample of people from the population in order to conduct a survey. Service delivery surveys and citizen report cards are participatory surveys that solicit user feedback on the performance of public services. Sources of information include: World Bank, *Monitoring & Evaluation: Some Tools, Methods and Approaches* (Washington, DC: 2004), pp. 12–13; World Bank Social Development Notes, *'Citizen Report Card Surveys – A Note on the Concept and Methodology'*, Note No. 91, February 2004. A population survey combined with 20 focus groups to examine perceptions of security in Kosovo is used in Forum for Civic Initiatives and Saferworld, *A Matter of Trust* (London: 2010).

It is not necessary that the report include every issue that was included in the assessment process, but it should address each of the six themes (performance effectiveness; laws, policies and planning; community relations; accountability and oversight; personnel; and institutional culture). It is also useful to include data or summarised descriptive information that can be used as a basis for comparison in the future. For example, if you used a questionnaire, you might be able to say, 'We found that 67% of female staff and 45% of male staff knew about the institution's gender equality policy.' From document analysis and site visits, you might be able to say, 'Only 40% of police stations/court-houses had separate waiting rooms that could be used by victims of gender based violence.' A sample template for a gender self-assessment report is at Appendix 5.

The report is presented for discussion with the relevant senior officials at the level where the self-assessment was initiated, and should be formally accepted by the institution (for example, signed off by a senior official). It should also be presented to staff, for example in a special staff meeting and through the staff newsletter or intranet. Members of the public and the media might be invited to briefings on the findings.

STAGE 7: DEVELOP A GENDER ACTION PLAN

The assessment report is a snapshot of the institution's gender responsiveness. The next stage is to build on organisational strengths and to improve in areas where your organisation could be more gender responsive: a gender action plan.

Who?

The self-assessment working group may be responsible for drafting the gender action plan, as the final stage of the institutional self-assessment process. Alternatively, the institution may have a department specialised in drafting policy and strategy that takes on the preparation of the plan. If this is the case, the self-assessment working group should be closely consulted. Further opportunities should be made for senior management input and support, to ensure that the plan is fully owned and implemented. The gender action plan should be endorsed at the highest levels of the institution.

The Additional Resources section lists further materials on gender action planning and examples of gender action plans developed by security sector institutions.

What?

The gender action plan should address the institution's particular challenges, as revealed by the gender self-assessment. It should draw upon resources within both the institution and the community to strengthen gender responsiveness, incorporating suggestions from staff and external stakeholders.

> **TIP 6: Change strategies**
>
> Focus change strategies upon the problems that the assessment has revealed. Emphasise that being gender responsive is a means to be more efficient and effective.

The gender action plan should build upon the institution's policy framework concerning gender issues. This will have been identified under Theme B of the assessment (laws, policies and planning). If there is an institutional gender policy, this is helpful. However, even where there is no such policy, there will be national gender commitments (such as enshrined within the constitution or women's rights or equality laws) and regional and international commitments (such as CEDAW and the Security Council resolutions on women, peace and security) to which the institution is accountable.

Resources such as the DCAF/OSCE-ODIHR/UN-INSTRAW *Gender and Security Sector Reform Toolkit* suggest strategies to make security sector institutions more gender responsive, and will give you ideas for the types of initiatives that could be incorporated into the gender action plan. See in particular the tools on Police Reform and Gender, Justice Reform and Gender, Defence Reform and Gender and Implementing the Women, Peace and Security Resolutions in Security Sector Reform. The gender action plan will likely need to address each of the six themes examined in the assessment.

- A. Performance effectiveness – for example, improving training on gender issues for particular groups of personnel.
- B. Laws, policies and planning – for example, establishing internal coordination and accountability structures to develop the institution's gender responsiveness.
- C. Community relations – for example, developing cooperation with NGOs providing services for victims.
- D. Accountability and oversight – for example, developing protocols for responding to complaints of gender-based violence.
- E. Personnel – for example, steps to promote women's recruitment, retention and advancement.
- F. Institutional culture – for example, initiatives to address sexual harassment.

The gender action plan should specify:
- measurable and realistically achievable targets
- activities to be undertaken to meet the targets
- timeframes for achieving the targets
- clear responsibilities for different levels of staff (from senior management down)
- the human, financial and any other resources needed
- a monitoring, evaluation and reporting framework.

TIP 7: Goals

Aim for graduated successes and achievements. Don't try to achieve the whole gender action plan at once.

Appendix 6 includes a sample template for a gender action plan.

Wherever possible, the gender action plan should try to address the root causes of problems, rather than simply their symptoms. For example, if a problem is inadequate numbers of female personnel, as well as recruiting more women, the action plan should address the reasons why female personnel leave. The action plan might include a range of different types of targets:
- immediate action (high impact, low/no cost)
- short term (some cost, visible impact, urgent, consensus building)
- medium term (involving further research, strategic planning, costing, public sensitisation, building coalitions of interest)
- long term (major policy changes, long-term planning and costing).

Creating systems for monitoring and reporting on achievement of the targets you have set out in the plan is an essential step. Through monitoring, you are able to show progress towards creating a more gender-responsive organisation. This monitoring can be integrated into existing performance management systems (for example, departmental and individual performance reviews contain criteria that relate to gender) and/or be performed by dedicated structures (for example the inter-departmental gender working group). Explore ways in which women's organisations and other stakeholders within the community can be involved in the monitoring and reporting. (For example, a women's crisis centre could be regularly consulted on police performance in handling victims of domestic violence.) Reporting obligations should be clear in the plan: who is responsible for reporting to whom on each activity? How often? In what format?

STAGE 8: MONITOR, EVALUATE AND ADJUST

Becoming gender responsive is not something that an institution can 'do' once and then consider finished. Organisational excellence and gender responsiveness require ongoing commitment, dedication, resources and processes.

At a minimum:
- monitor progress towards reaching the gender action plan targets
- evaluate barriers to successfully implementing the gender action plan
- regularly review the gender action plan to update the timetable of activities, assess progress and adjust and add activities; incorporate this review into the institution's existing reporting cycles, or do it separately (for example, every three or six months).

Communicate regularly with staff and other stakeholders on progress in implementing the gender action plan. Think about ways to maintain momentum for work on gender issues – for example, by six-monthly or annually celebrating successes and renewing commitments; celebrating success in recruitment of women; celebrating International Women's Day on 8 March with civil society organisations; celebrating any special national days that focus on women's rights; and participating in national and global campaigns such as the 16 Days of Activism Against Gender Violence and the White Ribbon Campaign.

TIP 8: Monitoring

Include the task of monitoring the implementation of the gender action plan in the job responsibilities of at least one staff member.

The institution might plan to repeat the gender self-assessment after three or five years as a way of assessing and revising the gender action plan.

EXAMPLE 2: THE ALBUQUERQUE POLICE DEPARTMENT'S SELF-ASSESSMENT OF RECRUITMENT AND RETENTION OF WOMEN

In 1995 the number of female applicants to the Albuquerque Police Department (APD) was dwindling. In response, the APD initiated the New Workplace for Women project, the first step of which was an institutional self-assessment. Using a self-assessment guide developed by the National Center for Women & Policing (and with the help of the National Institute for Women in Trades, Technology and Sciences), the APD conducted a **needs assessment** and a **self-evaluation**.

The **needs assessment** comprised three elements.
- Assessing the APD's readiness to integrate women into what traditionally had been male jobs by means of interviews with key stakeholders; anonymous surveys of female and male officers; focus groups; reviews of policies and procedures; examination of statistical information; and consideration of equipment, uniforms, bathrooms and changing facilities.
- Developing a leadership team and involving key stakeholders to support the recruitment of women.
- Building support for the New Workplace for Women initiative within the APD by means of presentations in staff meetings, newsletters and other internal communications, one-to-one discussions and focus groups.

The APD followed up the needs assessment with a **self-evaluation** focused on the following questions.
- How are you recruiting? Even more importantly, are you doing active recruitment?
- What messages are you sending? Look at your recruitment brochure: are you reflecting that women are welcome?
- Look at your retention rates – do they differ in terms of gender and race?
- Look at your sexual harassment policy, and at behaviours that are or are not tolerated in your organisation.
- What are your childcare, family leave and pregnancy policies?
- Does your department provide or have access to appropriate equipment and uniforms for women?

The self-evaluation revealed that applicants from certain racial and gender groups were disproportionately lost during the application process, and that advertising and outreach activities failed to target underrepresented groups, including women.

The National Institute for Women in Trades, Technology and Sciences created a report and action plan based on the self-assessment findings. The New Workplace for Women project focused on increasing women's access to employment in the APD through a fairer selection process; advertising and outreach campaigns that targeted women; internal policies to take into consideration more effectively women's particular needs, such as access to childcare and appropriate uniforms; and initiatives to prevent sexual harassment.

Results
Two years after commencing the New Workplace for Women project, the proportion of female recruits in the academy had risen from 10% to 25%, and female retention rates had increased to levels comparable to those of men.

Sources
DCAF, 'Police self-assessment of recruitment and retention of women', in *Gender and Security Sector Reform: Examples from the Ground* (Geneva: DCAF, 2011), pp. 92–94.
National Institute for Women in Trades, Technology and Sciences, 'New Workplace for Women', www.iwitts.com/html/new_workplace_for_women_projec.html (accessed 9 June 2011).
Polisar, J. and Milgram, D., 'Recruiting, integrating and retaining women police officers: Strategies that work', *The Police Chief*, October 1998, pp. 42–53.

EXAMPLE 3: ENHANCING IMPLEMENTATION OF THE NETHERLANDS ARMED FORCES' GENDER POLICY

The Netherlands Armed Forces wants women in all functions and all regions. The Ministry of Defence launched an action plan on gender in October 2004. This, however, did not immediately lead to a higher percentage of female personnel. In 2006 the Ministry of Defence engaged a consultancy to work together with its policy-makers in developing plans to enhance the success of its gender policy.

The consultancy undertook research through questionnaires sent by mail and interviews. The results highlighted that work was needed along two lines:
- making the current gender policy stronger and more binding
- changing the institutional gender culture.

The more women there are in an organisation, the easier it is to influence and change the existing gender culture. From literature in other fields, the Ministry of Defence considers 30% women the critical level.

The ministry developed the following strategies to make the Netherlands Armed Forces' gender policy work better.
- Highlighting the benefits to the organisation of the gender policy, including communicating how a larger percentage of female personnel is in the organisation's interest.
- Making the policy clearer by formulating indicators.
- Creating a system of accountability, and evaluating and adjusting the gender policy.
- Creating a system of rewards and sanctions.

It is important that the gender policy is seen in a positive way. Quick wins are very important in building and sustaining support.

Ministry of Defence gender advisers have developed strong cooperation with other parts of the organisation, in particular those responsible for personnel policy. They work to integrate gender issues in the existing regulations, processes and systems of the Ministry of Defence.

This approach – focusing on both policy and institutional culture – is ongoing. It has demonstrated results in creating better gender awareness within the armed forces, which has resulted in a higher percentage of women. Within two years, the percentage of women in ranks above lieutenant commander increased from 2% to 3%.

CHAPTER 3: QUESTIONS ON THE 16 DIMENSIONS OF GENDER RESPONSIVENESS

THIS INSTITUTIONAL SELF-ASSESSMENT LOOKS AT 16 DIMENSIONS OF GENDER RESPONSIVENESS, GROUPED UNDER SIX THEMES.

Theme A: Performance effectiveness
1. Capacity and training
2. Access to services
3. Data on gender-related crime

Theme B: Laws, policies and planning
4. National, regional and international laws and standards
5. Institutional policy, procedures and coordination

Theme C: Community relations
6. Public perceptions
7. Cooperation and consultation with the public

Theme D: Accountability and oversight
8. Complaints against security sector personnel
9. Internal and external oversight

Theme E: Personnel
10. Recruitment and selection
11. Retention
12. Assignments, deployment, promotion and remuneration
13. Mentoring and support
14. Infrastructure and equipment

Theme F: Institutional culture
15. Understanding of gender issues and relations between male and female personnel
16. Leadership and public presentation

THEME A: PERFORMANCE EFFECTIVENESS

1) CAPACITY AND TRAINING

To respond effectively to the different security and justice needs of men, women, boys and girls, security sector institutions must have sufficient personnel (including female personnel), training, equipment and facilities. Preventing and responding to crimes of gender-based violence, in particular, require special training and procedures. The attitudes of individual personnel are very important, as gender bias and discrimination by personnel within security sector institutions are a key barrier to delivery of security and justice services.

See Appendix 7 for a sample template for collecting information about training.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. What measures (e.g. training, awareness-raising) have been implemented in your institution to familiarise personnel at every level with their obligations with respect to:
    a. human rights, including women's human rights
    b. gender analysis and gender mainstreaming
    c. national gender laws and gender policies
    d. any institutional gender policies
    e. equal opportunities
    f. sexual harassment and discrimination
    g. prevention of and response to gender-based violence?[5]

B. List ways in which women's human rights and gender issues are incorporated into training in your institution.

C. Do personnel display gender bias (for example, displaying an attitude that women are unreliable witnesses, that husbands have physical and sexual rights over their wives, that women 'invite' abuse through their dress)? Yes ☐ No ☐ If yes, list examples.

QUESTIONS FOR ARMED FORCES

D. What mission-specific training on gender issues is provided?

E. Is there a gender adviser in each mission? Yes ☐ No ☐
    If yes, does the gender adviser have a clear, written job description, and appropriate access to senior command and resources, to support gender analysis and response in operations?

F. During operations, how do female and male personnel engage with both men and women in local communities, including in searches and intelligence gathering? Are there enough female personnel to do this effectively?

G. How are personnel deployed to peacekeeping missions and other operations trained on:
    a. applicable codes of conduct
    b. sexual exploitation and abuse
    c. protection of civilians
    d. prevention of sexual violence against women and girls
    e. the protection, rights and needs of women
    f. Security Council Resolutions 1325 and 1820
    g. the importance of involving women in peacekeeping and peacebuilding measures
    h. HIV/AIDS?

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5 A list of examples of forms of gender-based violence is given in Appendix 1.

QUESTIONS FOR POLICE SERVICES

D. What is the number (or percentage) of female staff in each police station? Is this adequate for female officers to be available to deal with female prisoners, victims and witnesses, as necessary?

E. Does each police station have appropriate detention facilities for men and women, girls and boys (e.g. are women and men and adults and juveniles held separately)? Yes ☐ No ☐

F. Do the police consider gender-related crime to be a priority for their work? Yes ☐ No ☐ How is this demonstrated?

G. What training do police officers receive on specific forms of gender-based violence, including human trafficking, family violence and sexual assault?

H. Are there special units/services to address gender-related crimes, such as anti-trafficking squads, women's police stations or family support units? Yes ☐ No ☐ If yes, are they fully staffed and adequately resourced?

I. What equipment and other resources does each police station have to respond to gender-related crime (e.g. 'rape kits' to collect evidence)? Are these resources adequate?

J. What facilities does each police station have for receiving complaints of and investigating gender-related crime (for example, private interview areas, forensic support, translators)? Are these facilities adequate?

K. Are victims of gender-related crime able to file a report in their own language? Yes ☐ No ☐

L. What activities do police undertake to prevent gender-related crime (e.g. public campaigns, apprehended violence orders)?

M. How are police personnel deployed to peacekeeping missions trained on:
    a. applicable codes of conduct
    b. sexual exploitation and abuse
    c. protection of civilians
    d. prevention of sexual violence against women and girls
    e. the protection, rights and needs of women
    f. Security Council Resolutions 1325 and 1820
    g. the importance of involving women in peacekeeping and peacebuilding measures
    h. HIV/AIDS?

N. What mission-specific training on gender issues do police personnel deployed to peacekeeping missions receive?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

D. How do the following address women's human rights and prosecution of gender-related crime:
    a. curricula in law schools
    b. professional training for lawyers
    c. training for prosecutors
    d. training for judges?

E. Are copies of legislation and jurisprudence affecting women (e.g. as regards sexual violence, family violence, marriage, custody, inheritance, property ownership) easily available to judges, prosecutors and lawyers? Yes ☐ No ☐

F. Do prosecutors and judges consider gender-related crime to be a priority for their work? Yes ☐ No ☐ How is this demonstrated?

G. Are there specialist prosecution units, judges and courts with trained staff to deal with gender-related crime? Yes ☐ No ☐ If yes, are they fully staffed and adequately resourced?

H. How are courts that try gender-based violence cases physically equipped to protect victims' privacy, dignity and security (for example, facilities for closed hearings; screens behind which witnesses and victims can testify; separate waiting rooms for witnesses, victims and accused)?

Suggested sources of information

- Interview personnel at the local/district and national levels to enquire into the provision of adequate training, resources and personnel.
- Interview staff from specialised units dealing with gender-related crime, where they exist.
- Interview local and international NGOs.
- Interview staff of welfare agencies etc. that work with your institution.
- Distribute a questionnaire to staff.
- Review training syllabuses and manuals.
- Visit training academies, attend training sessions and interview trainers.
- Inspect interview rooms, detention facilities and courts, as relevant.
- Review reports of oversight bodies.

2) ACCESS TO SERVICES

It is important that security and justice services are accessible for women, men, boys and girls across the entire country. Physical access may be a challenge: in many countries, police and courts do not operate throughout the entire country, and women and girls may be less likely to be able to travel to use them. Financial, linguistic and social barriers may prevent certain groups of men and women from accessing justice services. In some countries traditional practice dictates that gender-based violence is dealt with outside the formal justice system, which can leave women and girls vulnerable to human rights abuses.

This self-assessment guide is designed for use by and with formal security sector institutions. For a greater focus on gender assessment of a traditional or customary justice system, refer to the UNODC *Gender in the Criminal Justice System Assessment Tool*.

QUESTIONS FOR ARMED FORCES

A. During peacekeeping operations, what measures are put in place to promote access to police and justice services (e.g. referrals, transportation, protection of police and court facilities) for men and women in local communities?

QUESTIONS FOR POLICE SERVICES

A. Are women, men, boys and girls able to report a crime and have it investigated at a police station in any part of the country, including outside large cities and in areas where minority communities live? Yes ☐ No ☐
If no, what are the main reasons that women and men give for not reporting crimes at police stations?

B. Are crimes of gender-based violence normally reported to the police? Yes ☐ No ☐
If no, why not, and how is gender-based violence dealt with?

C. If there are special units/services to respond to gender-related crimes, do they operate throughout the country, including outside large cities and in areas where minority communities live? Yes ☐ No ☐ If no, why not?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

A. Are women, men, boys and girls able to attend court to participate in a case as a litigant, victim or witness in any part of the country, including outside large cities and in areas where minority communities live? Yes ☐ No ☐
    If no, what particular difficulties do women, men, boys and girls have accessing courts (e.g. distance, fees, having to convince court staff that their cases are valid, inadequacy of protection measures for victims and witnesses against reprisals)?

B. Are there legal literacy programmes that educate men, women, boys and girls about their human and legal rights? Yes ☐ No ☐

C. Are there 'access to justice' programmes for men, women, boys and girls who would be likely to have difficulty accessing the judicial system (e.g. because they are part of ethnic or linguistic minorities, rural communities or refugee communities)? Yes ☐ No ☐

D. Can women and men get the services of a lawyer (e.g. through legal aid, a public defender) or paralegals if they cannot afford to pay? Yes ☐ No ☐

E. Is the formal justice system being used to respond to gender-based violence throughout the entire country? Yes ☐ No ☐
    If no, why not, and how is gender-based violence dealt with (e.g. through customary processes)?

F. What barriers are there to men, women, boys and girls (either awaiting trial or after conviction) being dealt with through non-custodial measures (i.e. released on bail or on probation or serving community service) rather than being imprisoned?

Suggested sources of information

- Check details of courts, police stations, number of personnel etc. stationed throughout the country to see if there is coverage.
- Interview personnel.
- Distribute a questionnaire to local NGOs, including associations of women judges or lawyers, and centres that assist victims of gender-based violence.
- Interview and review reports by local and international NGOs.
- Review any available public opinion polls on safety and security, service delivery surveys and citizen report cards.
- Conduct focus groups with particular groups of actual or potential service users (e.g. women, girls, women from particular minority groups).
- Conduct community group interviews.

3) DATA ON GENDER-RELATED CRIME

The amount of gender-related crime is an important indicator of the security of women, men, boys and girls. Data on crimes, offenders and victims provide a baseline for performance changes. Most gender-related crime remains unreported due to factors such as social stigma, the perceived inadequacy of the police and justice system, the use of informal justice responses and coercive control of victims by perpetrators. As such, rates of reported crime or convictions can themselves be difficult to interpret: where security sector institutions improve their response to gender-based violence, reporting and conviction rates go up. It is therefore important to analyse how well security sector institutions collect crime statistics (including information on victims), and how they use those statistics to set and achieve gender-related crime prevention and crime-fighting goals. Appendix 1 contains a list of different forms of gender-based violence, some of which will be criminalised in any particular context.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. Are statistics compiled and published on gender-based violence complaints against the institution's personnel, whether made by members of the public or by other personnel?
    Yes ☐ No ☐

QUESTIONS FOR ARMED FORCES

B. What techniques does the military have for gathering, analysing and using information on gender-related crime committed in the community before, during and after operations?

QUESTIONS FOR POLICE SERVICES

B. Do crime statistics record the sex and age of the victim and aggressor? Yes ☐ No ☐

C. Do crime statistics reveal which crimes are acts of gender-based violence? (For example, is family violence recorded as such, or merely as an assault?) Yes ☐ No ☐

D. How have gender-based violence crime statistics changed over time? How are these changes explained by organisations that assist victims of gender-based violence?

E. How many gender-based violence cases (disaggregated by crime) each month are:
    a. reported
    b. investigated
    c. prosecuted?

F. What other data collection and/or crime analysis is being undertaken in regard to gender-based violence, either by police or by research bodies, government departments, clinics, women's groups, NGOs etc.?

G. How are gender-based violence data being used to improve prevention and response to gender-based violence?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

B. How many cases concerning gender-related crime are filed each month (whether in specialised gender-based violence courts or in the courts more generally)?

C. What percentage of cases concerning gender-related crime:
    a. are heard by a court
    b. are dismissed
    c. result in a conviction?

D. What reasons are given for dismissal of cases concerning gender-related crime?

E. Do sentences for gender-related crimes reflect:
    a. the law (i.e. sentencing guidelines) Yes ☐ No ☐
    b. the seriousness of the offence? Yes ☐ No ☐

    Under what circumstances do they not?

F. What are the most common offences with which women and men, adults and juveniles, are charged?

G. What is the number (or percentage) of:
    a. male and female adult prisoners
    b. male and female juvenile prisoners
    c. male and female adult prisoners who have not yet been tried
    d. male and female juvenile prisoners who have not yet been tried
    e. male and female adults under non-custodial measures (i.e. released on bail or on probation or serving community service)
    f. male and female juveniles under non-custodial measures (i.e. released on bail or on probation or serving community service)?

Suggested sources of information

- Review crime statistics at the local/district and national levels.
- Distribute a questionnaire to local NGOs, including associations of women judges or lawyers, and centres that assist victims of gender-based violence.
- Review public opinion polls on safety and security, and human rights and security reports by local and international NGOs.
- Review reports of oversight bodies.
- Review reports of the prison system and probation service.

THEME B: LAWS, POLICIES AND PLANNING

4) NATIONAL, REGIONAL AND INTERNATIONAL LAWS AND STANDARDS

National, regional and international laws and standards create a framework for security sector institutions' gender responsiveness: they define what the obligations of each security sector institution are, and may outline specific roles in relation to such things as gender-based violence and women's participation.

This self-assessment does not propose a comprehensive analysis of the country's constitution, laws and traditional law and customary practices with regard to human rights, equality and gender issues. To do this, we suggest you use a resource such as the UN Office on Drugs and Crime *Gender in the Criminal Justice System Assessment Tool* and/or the American Bar Association's *CEDAW Assessment Tool*.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. How do national laws and policies for the institution make reference to gender issues (e.g. non-discrimination provisions)?

B. Do national laws and policies on gender issues (e.g. strategy on violence against women, 1325 national action plan, anti-trafficking strategy) set out particular responsibilities for the institution? Yes ☐ No ☐ If yes, describe the responsibilities.

C. How is the institution being monitored for compliance with national laws and policies on gender issues?

D. How is the institution being monitored for compliance with regional and international human rights and other standards in relation to gender issues?

QUESTIONS FOR ARMED FORCES

E. Are women or particular groups of men or women excluded by law from any roles within the armed forces (e.g. submariner, fighter pilot, combat, gendarmerie)? Yes ☐ No ☐
If yes, describe.

F. What gender-related provisions in subregional, regional and international codes of conduct apply to members of the armed forces serving overseas (e.g. African Union, ECOWAS, European Union, NATO, United Nations)?

QUESTIONS FOR POLICE SERVICES

E. Are women or particular groups of men or women excluded by law from any roles within the police (e.g. police investigator, special crimes unit)? Yes ☐ No ☐ If yes, describe.

F. What gender-related provisions in subregional, regional and international codes of conduct apply to members of the police serving overseas (e.g. African Union, ECOWAS, European Union, NATO, United Nations)?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

E.   Are women or particular groups of men or women excluded by law from any roles within the justice system? Yes ☐ No ☐ If yes, describe.

F.   How are the courts (or other relevant institutions, such as a constitutional council) active in upholding any constitutional protections of human rights and equality, including for women and girls?

G.   How are the courts (or other relevant institutions, such as a constitutional council) and prosecutors active in upholding legislative protections of human rights and equality, including for women and girls?

Suggested sources of information

- Examine DCAF's compilation of International and regional laws and instruments related to security sector reform and gender.
- Consult webpages of regional and international security organisations (e.g. UN Department of Peacekeeping Operations' Conduct and Discipline Unit).
- Review national security, defence and gender laws and strategies, and governing laws for the relevant security sector institution.
- Read any government and NGO reports to CEDAW and the CEDAW Committee's concluding comments.
- Read government statements to the Security Council on implementation of Resolutions 1325, 1820, 1888, 1889 and 1960.
- Read reports of the national human rights commission dealing with the institution.
- Interview representatives of the associations of women judges, prosecutors, lawyers and professors of law.

5) INSTITUTIONAL POLICY, PROCEDURES AND COORDINATION

For an institution to be gender responsive, direction on gender issues needs to be set through institutional policies. The policy-making process and policies themselves should take into account the different ways in which policies impact upon men, women, girls and boys (gender mainstreaming), and there should be specific policies to address gender issues (such as gender-based violence, ensuring women's equal participation in the institution and ensuring women's equal access to justice and security services). Procedures then should be developed to ensure that policy commitments are realised, adequate budgetary allocations are made, there is effective coordination with other services and individual personnel know what their responsibilities are. An overarching gender policy and/or action plan is recommended, as discussed under Stage 7: Develop a gender action plan in Chapter 2.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A.   Is there an institutional mission statement that affirms a commitment to gender equality and human rights? Yes ☐ No ☐

B.   How do the institution's strategic planning documents refer to gender equality and other gender goals, and/or refer to national laws and policies on gender issues?

C.   How do job descriptions, standard operating procedures and codes of conduct take into account the different ways in which they impact upon men, women, girls and boys (for example, addressing the different needs of male and female personnel/victims)?

D.   Is there a clearly defined gender policy or plan of action which includes:
   a.   targets   Yes ☐ No ☐
   b.   timeframe   Yes ☐ No ☐
   c.   resources needed for implementation   Yes ☐ No ☐
   d.   clear responsibilities for different levels of staff (from senior management down)
        Yes ☐ No ☐
   e.   monitoring and evaluation mechanisms   Yes ☐ No ☐
   f.   reporting mechanisms?   Yes ☐ No ☐

E. How does the gender policy or plan of action address:
    a. gender mainstreaming
    b. sexual harassment and discrimination within the institution
    c. gender-based violence
    d. equality between male and female personnel
    e. women's advancement?

F. What parts of the gender policy or plan of action have been successfully implemented, and what parts have not? Why not?

G. What is the lead department or focal point on gender/equality issues, and what level of seniority does it have?

H. What mechanisms are there for inter-department coordination on gender issues (e.g. working groups on specific gender-related issues; steering committee for implementation of the gender action plan)?

I. What mechanisms are in place to coordinate and cooperate with the ministry responsible for gender/women?

J. What budget and other resource allocations are there for achieving the goals of the gender policy or plan of action, or other gender-related initiatives?

K. What gender analysis is done of the overall budget of the institution, or of specific budget lines?[6]

L. What rules and regulations and/or policies are there concerning gender-based violence, sexual harassment or sex discrimination by security sector personnel:
    a. against other personnel
    b. against members of the public?[7]

QUESTIONS FOR ARMED FORCES

M. What gender analysis is done at the planning stage of each mission, e.g. in relation to cultural issues that may impact upon operational effectiveness, force formation, intelligence and civil-military cooperation?

N. What gender assessments and analysis are done throughout operations (e.g. of protection of civilian men, women, boys and girls)?

O. How is gender analysis included in mission reporting?

P. During each operation, what procedures are in place:
    a. to protect male and female civilians from violence, whether committed on the streets or in private houses
    b. to respond to violence being committed against men, women, boys and girls within the community
    c. to coordinate with local and/or international police concerning gender-related crime
    d. to coordinate with services for victims of gender-related crime (such as welfare agencies, community organisations and NGOs)
    e. concerning searches of women and girls
    f. concerning interactions with local women and girls – both to ensure there is effective communication and to prevent and punish inappropriate contacts/sexual exploitation and abuse
    g. to prevent violence (including sexual exploitation, harassment and violence) against detainees?

Q. How are relevant standards of behaviour/codes of conduct (national, subregional, regional and international) being implemented?

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6 Some resources on gender budgeting are listed in Additional Resources.
7 Complaint and investigation processes are addressed below under Theme D: Accountability and oversight.

R. Is there a policy explicitly forbidding military personnel from using prostitutes while deployed on operations? Yes ☐ No ☐ If yes, how is it enforced?

QUESTIONS FOR POLICE SERVICES

M. What systems are in place to identify the particular security and justice needs of women, men, boys and girls in the community?

N. What services are available to address the particular security and justice needs of women, men, boys and girls in the community?

O. What further systems and services are in place to identify and address the security and justice needs of marginalised women, men, boys and girls in the community (e.g. ethnic and linguistic minorities; refugees and internally displaced persons; persons with disabilities; men and women living with HIV/AIDS)?

P. What gender analysis is done of different service delivery outcomes for women, girls, men and boys?

Q. What written standard operating procedures are in place to prevent and respond to specific forms of gender-related crime, including human trafficking, family violence and sexual assault? Are police officers aware of these procedures? Are they implemented?

R. Is there a policy or procedure requiring that all complaints of gender-related crime are recorded and investigated? Yes ☐ No ☐
Are police officers aware of this policy or procedure? Is it implemented?

S. What types of protective or restraining orders can police issue to protect victims of gender-related crime (e.g. barring the perpetrator from the home, prohibiting further contact with the victim)?

T. How do the police coordinate with prosecutors, courts, prisons and, where relevant, the armed forces in preventing and responding to gender-related crime?

U. How do the police coordinate and cooperate with other services to assist and support victims of gender-based violence (such as welfare agencies, community organisations and NGOs providing shelters, counselling, legal aid, etc.)?

V. How are relevant standards of behaviour/codes of conduct (national, subregional, regional and international) being implemented?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

M. What gender analysis is done of different service delivery outcomes for women, girls, men and boys?

N. Do any rules of evidence or court practices discriminate (on paper or in practice) against female victims and witnesses (for example by requiring witnesses to or corroborating evidence for a crime of sexual violence, or giving more weight to the testimony of a man than of a woman)? Yes ☐ No ☐ If yes, describe.

O. What measures are taken by courts to protect the privacy, dignity and security of victims and witnesses in cases of gender-related crime?

P. Specifically, what special rules of evidence and procedure apply in sexual violence cases (for example, protecting the identity of the victim from publication, prohibiting questions on prior sexual conduct)?

Q. Are victims and witnesses allowed the assistance of independent advocates in court, such as NGO representatives, to help them understand the proceedings and protect them from inappropriate lines of questioning? Yes ☐ No ☐

R. How do prosecutors, investigating judges and courts coordinate with each other, and with police, prisons and, where relevant, the armed forces, in preventing and responding to gender-related crime?

S. What services exist for victims of gender-related crime (such as welfare agencies, community organisations and NGOs)? How do prosecutors and courts coordinate and cooperate with such service providers?

T. What policies exist for sentencing or deciding on pre-trial measures (e.g. that they be released on bail or probation or serve community service where possible and appropriate) for:
    a. a pregnant woman
    b. a child's sole or primary caretaker?

U. How do courts coordinate and cooperate with community-based programmes for male and female, juvenile and adult offenders (e.g. community service and drug rehabilitation programmes)?

V. Is 'protective custody' being used to imprison women or girls who are victims of or threatened with violence? Yes ☐ No ☐

Suggested sources of information

- Review mission statements; standard operating procedures concerning gender-related crimes and sexual and gender harassment and discrimination; codes of conduct; job descriptions; military manuals; and national security and defence policy frameworks.
- Review strategic planning documents and reports.
- Review rules and manuals of criminal judicial procedure.
- Interview personnel responsible for implementing and monitoring the strategic plan, and for gender and equality issues.
- Interview personnel to enquire into basic knowledge of codes of conduct, standard operating procedures, etc.
- Enquire into the form in which codes of conduct, standard operating procedures, etc. exist (e.g. on computers in headquarters or given in hard copies to all officers or district commands).
- Distribute a questionnaire to welfare agencies, community organisations and NGOs that provide services for victims of gender-related crime, and associations of women judges or lawyers.
- Read reports of and/or interview welfare agencies, community organisations and NGOs that provide services for victims of gender-based violence, and associations of women judges or lawyers.

THEME C: COMMUNITY RELATIONS

6) PUBLIC PERCEPTIONS

In many societies it is difficult for security and justice services to earn the trust of all the community due to past poor practice. Young men may be particularly unlikely to approach the police when they have been a victim of or have knowledge about a crime. Women and girls may fear abuse at the hands of armed forces personnel and police. How different parts of the community perceive an institution is central to how able the institution is to meet their needs.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. How do perceptions of the institution and its role in the community differ between men, women, boys and girls?

B. To what degree is the institution perceived by men, women, boys and girls in the community as a good employer?

C. What suggestions do men, women, boys and girls in the community have of how the institution could improve its services to and/or dealings with them?

QUESTIONS FOR ARMED FORCES

D. Specifically, how do men, women, boys and girls in areas of operations view the armed forces?

E. Specifically, how do men, women, boys and girls in communities living around military barracks and bases view the armed forces?

QUESTIONS FOR POLICE SERVICES

D. Are the police perceived by men, women, boys and girls to be actively tackling gender-related crimes? Yes ☐ No ☐ If yes, which crimes?

E. What do men, women, girls and boys who have reported crimes to the police think about the service they received?

F. Specifically, what do men, women, girls and boys who have reported gender-related crimes to the police think about the service they received?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

D. Are the courts perceived by men, women, boys and girls to be active in punishing gender-related crimes? Yes ☐ No ☐ Which crimes?

E. What do men, women, girls and boys who have participated in court proceedings as a litigant, victim or witness think about the courts?

F. Specifically, what do men, women, girls and boys who have participated in court proceedings as a victim of a gender-related crime think about the courts?

Suggested sources of information

- Read reports of internal and external oversight and complaints bodies.
- Read reports by local and international NGOs.
- Review any available public opinion or service delivery surveys or citizen report cards.
- Interview local NGOs.
- Conduct a mini-survey.
- Conduct focus groups or community group interviews.

7) COOPERATION AND CONSULTATION WITH THE PUBLIC

Security sector institutions, in particular the police, rely upon public cooperation in solving crimes and achieving safety objectives. They can cooperate with civil society groups, such as women's groups, youth groups and churches, which provide services to victims and offenders and can support training for security sector personnel. Moreover, security sector institutions should seek input from the community to help them to develop their practices and policies in ways that meet the needs of all parts of the community.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. What formal or informal collaboration and communication mechanisms exist with women's groups, human rights groups and other civil society groups on local, municipal and national levels (e.g. referral network, local security committee)?
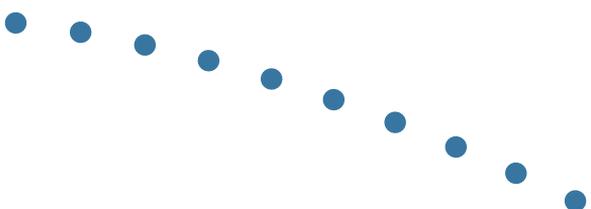
QUESTIONS FOR ARMED FORCES

B. During operations, how do armed forces cooperate with men and women in local communities?

C. Outside of operations, how do armed forces cooperate and consult with the men and women living around barracks and bases?

QUESTIONS FOR POLICE SERVICES

B. How are men and women in local communities consulted on crime prevention priorities and approaches?

Suggested sources of information

- Review whether the institution has a community relations strategy/unit/programme.
- Review agendas and minutes of meetings held between the institution and community members (including any sex-disaggregated data on who is included in consultations).
- Interview members of the institution charged with public outreach.
- Interview community members and local and international NGOs.
- Look for evidence that the institution incorporates community concerns into training and practice.

THEME D: ACCOUNTABILITY AND OVERSIGHT

8) COMPLAINTS AGAINST SECURITY SECTOR PERSONNEL

In many countries, sexual harassment, violence and discrimination by security sector personnel – against members of the public and against their colleagues – are a serious problem. Men as well as women are victims. These behaviours prevent individuals from accessing security and justice services. They deter women and men from joining security sector institutions. They traumatise members of the security services, and hold them back from advancement. They lessen the trust and respect with which security sector institutions are held within the community. Strong complaints, investigation and disciplinary mechanisms are an important part of gender responsiveness.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. How can *security sector personnel* make a complaint against one of their colleagues or their institution of gender-based violence, sexual harassment, sex discrimination or other human rights abuse (i.e. internal complaints mechanism)?

B. How can *a member of the community* make a complaint against security sector personnel of gender-based violence, sexual harassment, sex discrimination or other human rights abuse (i.e. external complaints mechanism)?

C. How are complaint mechanisms publicised and made accessible, both within the institution and to women and men in the community?

D. How are complaints against security sector personnel of gender-based violence, sexual harassment, sex discrimination or other human rights abuse investigated, and by whom?

E. Has there been an increase or decrease in complaints against personnel of gender-based violence, sexual harassment, sex discrimination or other human rights abuse over time?

F. Is analysis of trends in complaints regularly done? Yes ☐ No ☐

G. Do these complaints tend to come from particular groups – whether from within the institution, family members or certain groups within the community?

H. What proportion of complaints made was followed by an internal investigation?

I. What proportion of complaints made led to internal disciplinary measures, and what were those measures?

J. What were the reasons for some complaints not being investigated and/or leading to punishment?

K. What mechanisms are in place for a person to take a complaint against security sector personnel of gender-based violence, sexual harassment, sex discrimination or other human rights to an external oversight body (such as a human rights commission or ombudsperson) or to the courts?

L. What support services and protections are in place (such as counselling, advocacy support, confidentiality, protection from being fired) for a person who makes a complaint?

M. Where there is a complaint against security sector personnel of gender-based violence, sexual harassment, sex discrimination or other human rights abuse, what coordination is there with police, prosecutors, courts and local NGOs?

N. How is information about disciplinary measures taken in response to complaints of gender-based violence, sexual harassment, sex discrimination or other human rights abuse communicated throughout the institution and community?

QUESTIONS FOR ARMED FORCES

O. Are complaints of gender-based violence, sexual harassment, sex discrimination or other human rights abuse against personnel (whether the complaint is made by a colleague, family member or member of the public) dealt with by the civilian or military justice system?

P. If dealt with by the military justice system, do civilian victims have full access to the proceedings? Yes ☐ No ☐
Can they be represented by a civilian advocate? Yes ☐ No ☐

Suggested sources of information

- Hold focus groups with separate groups of female and male staff to discuss how gender-based violence, sexual harassment, sex discrimination and other human rights abuses are dealt with. Consider also holding separate groups with young men and young women.
- Review descriptions/statistics of filed complaints and resulting disciplinary measures.
- Interview members of bodies responsible for investigating complaints.
- Interview leaders of community groups, including representatives of women's groups, as to the effectiveness of complaints and disciplinary processes.
- Review reports by local and international NGOs, and in newspapers and the media.

Researching gender-based violence

Researching sexual harassment and other forms of gender-based violence is highly sensitive and requires carefully designed research protocols. For more information see Ellsberg, M. and Heise, L., *Researching Violence Against Women: A Practical Guide for Researchers and Activists* (Washington, DC: World Health Organization, PATH, 2005).

9) INTERNAL AND EXTERNAL OVERSIGHT

Internal and external mechanisms for oversight can play a critical role in holding institutions accountable to the public for being gender responsive. External bodies such as human rights commissions or ombuds offices often have powers to receive individual complaints from the public or security sector personnel, can initiate investigations into security sector institutions and can ask a security sector institution to take specific remedial measures to address discrimination. Independent external oversight can also be a means for communities to be involved in monitoring, where oversight bodies include community representatives or lay members.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. What internal oversight mechanisms (e.g. equality officer, conduct and discipline unit, inspector general) supervise the institution?

B. What external oversight mechanisms (e.g. human rights commission, parliamentary committee, national security committee, ombudsperson) supervise the institution?

C. How do internal oversight mechanisms monitor gender responsiveness in the institution?

D. How do external oversight mechanisms monitor gender responsiveness in the institution?

E. What is the proportion of men and women in each relevant internal and external oversight body?

F. What training do members of internal and external oversight bodies receive on gender issues?

G. How is the ministry responsible for gender/women's affairs involved in external oversight on gender issues (e.g. through representation on the national security committee)?

H. How are members of the community formally and informally involved in oversight on gender issues, e.g.
    a. non-governmental organisations
    b. women's professional associations
    c. academic and research institutions
    d. media organisations
    e. customary and traditional leaders?

Suggested sources of information

- Review reports and statistics of internal and external oversight bodies.
- Interview members of internal and external oversight bodies.
- Review reports by local and international NGOs on the reach and impact of oversight bodies.
- Interview leaders of community groups, including representatives of women's groups, to enquire into the effectiveness of internal and external oversight.

THEME E: PERSONNEL

10) RECRUITMENT AND SELECTION

Women are underrepresented in most security sector institutions. The full and equal participation of men and women within the security sector is a goal in itself for a gender-responsive institution, and also a precursor to achieving performance effectiveness on gender issues. Traditional recruitment practices have often failed to attract women, or have intentionally or unintentionally excluded them.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. What are the respective number and percentage of men and women within the institution (e.g. within each branch of the armed forces; civilian and 'sworn' police personnel; as judges, prosecutors and lawyers)?

B. What are the respective number and percentage of men and women at each level/rank?

C. Is there a target percentage of female personnel? Yes ☐ No ☐
    Of female recruits? Yes ☐ No ☐
    If yes, what are the targets?

D. Are there any limits placed on the percentage of female personnel or recruits? Yes ☐ No ☐
    If yes, how are these justified?

E. What measures are in place to encourage and support female applicants (e.g. depicting women in recruitment materials, recruiting at places frequented by women)?

F. Are there any differences in the recruitment criteria and process for men and women (e.g. different physical requirements)? Yes ☐ No ☐ If yes, what are they?

G. What would be the institution's ideal personnel profile, in terms of qualities, capacities and commitment? Is this profile equally attainable for men and women? Yes ☐ No ☐

H. If women are recruited less than men (or vice versa), what are the obstacles to recruitment and how are they being or could they be addressed? For example, do female candidates require special training to meet recruitment requirements (e.g. driving a 4WD, physical training, high-school-level education)?

I. Do job descriptions accurately match the requirements of the job in a way that does not discriminate against either women or men? For example,
    a. are any physical fitness requirements appropriate to the job, and not excessive Yes ☐ No ☐
    b. are traditionally 'feminine' skills and abilities such as communication, ability to de-escalate violent situations and ability to work cooperatively included in job descriptions alongside any traditionally 'masculine' skills? Yes ☐ No ☐

J. Do job descriptions require understanding of and/or commitment to gender equality and human rights? Yes ☐ No ☐

K. What steps are taken to ensure that both women and men are involved in recruitment processes?

L. How are personnel involved in recruitment trained to detect and counter discriminatory attitudes towards women or men?

M. What procedures are in place to vet candidates for previous violations of international humanitarian and human rights law?

Suggested sources of information

- Review human resources procedures and reports on recruitment.
- Examine recruitment materials.
- Interview recruiters.
- Interview or hold focus groups with new recruits.
- Distribute a questionnaire to new recruits.
- Conduct a mini-survey at a recruiting office or recruiting event.

11) RETENTION

In many security sector institutions female staff are retained less than male staff for a range of reasons: sexual harassment, discrimination and abuse; an unsupportive environment; and a lack of family-friendly policies and procedures to support both women and men in balancing their career and family responsibilities. Young men may also leave due to sexual harassment and abuse, and men and women may leave due to harassment and discrimination related to their sexual orientation or identity.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. What data are collected and analysed on staff turnover and retention? Are these data disaggregated by sex, rank, ethnicity and reasons for leaving the service?

B. If there are sex-disaggregated data, what is the respective retention rate for women and men, and what are the differences in their reasons for leaving the service?

C. If women are retained less than men (or vice versa), what are the obstacles to their retention, and how are they being or could they be addressed?

D. Do male and female staff enjoy equal rights in relation to healthcare, housing, retirement and family benefits? Yes ☐ No ☐

E. Are there any restrictions, written or unwritten, on female staff getting married or becoming pregnant (e.g. having to complete a certain period of service)? Yes ☐ No ☐ If yes, describe.

F. How adequate are policies to allow staff to balance their work with family and caring responsibilities, e.g.
   a. are there provisions for flexible working hours and/or part-time work for parents and those caring for elderly or sick family members Yes ☐ No ☐
   b. is there adequate and paid maternity leave Yes ☐ No ☐
   c. is there adequate and paid paternity leave Yes ☐ No ☐
   d. are there provisions for 'light work' for pregnant women and women who have recently given birth Yes ☐ No ☐
   e. are women who are breastfeeding allocated time off to feed their infant or to express their breast milk during working hours Yes ☐ No ☐
   f. are there facilities for women who are breastfeeding to feed their infant or express breast milk during working hours (e.g. a parenting room) Yes ☐ No ☐
   g. are childcare facilities provided or are contributions made to childcare costs Yes ☐ No ☐
   h. is there practical and psychological support for families of personnel when they are relocated, such as in finding new jobs and schools Yes ☐ No ☐
   i. are caring responsibilities taken into account in decisions about deployment (for example, to allow the parent of a young child to have the option to stay near the family)? Yes ☐ No ☐

QUESTIONS FOR ARMED FORCES

G. What types of practical and physiological support are offered to families of personnel when their family member is on active deployment?

H. What mechanisms help personnel in active deployment maintain contact with their families?

QUESTIONS FOR POLICE SERVICES

G. What types of practical and physiological support are offered to families of personnel if their family member is deployed a long way from home?

H. What mechanisms help personnel deployed a long way from home maintain contact with their families?

Suggested sources of information

- Review reports documenting retention rates.
- Review records of 'exit interviews' and surveys.
- Review human resources policies.
- Interview human resources staff.
- Interview representatives of staff associations.
- Interview, conduct focus groups with and/or distribute a questionnaire to female and male personnel from various sections and levels of the institution, including personnel who have recently left the service.

12) ASSIGNMENTS, DEPLOYMENT, PROMOTION AND REMUNERATION

Systems for assignments, deployment, promotion and remuneration should not discriminate against male or female staff. It may be necessary to make changes to ensure that roles traditionally deemed unsuitable for women become equally available to both women and men. At the same time, individuals' family and other caring commitments should be able to be considered. Performance evaluation systems should incorporate gender-responsive measures, so that an individual's promotion is linked to meeting his/her obligations to be gender responsive. Serving in a unit responsible for addressing gender-based violence should be valued and rewarded.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. Are data collected and analysed on the respective promotion of male and female staff?
Yes ☐ No ☐

B. If women are promoted less than men (or vice versa), what are the obstacles to their promotion, and how are they being or could they be addressed (e.g. targeted training)?

C. Are men and women at the same rank/level being paid the same amount? Yes ☐ No ☐

D. If women are paid less than men (or vice versa), how is this justified and how can it be corrected?

E. What steps are taken to ensure that both women and men are involved in deciding on staff promotions and remuneration?

F. Besides any positions from which men or women are excluded by law (discussed under Theme B), are there any (other) positions from which women or men are formally or informally excluded?
Yes ☐ No ☐

G. Are there any (other) positions that in practice are only performed by men, or only by women?
Yes ☐ No ☐ If yes, how could these be made available or attractive to both women and men?

H. What human resource management systems are in place to:
    a. recognise, value and reward performance in addressing gender-based violence, promoting gender equality and/or meeting the goals of the institution's gender strategy
    b. recognise and discipline poor performance in the above?

QUESTIONS FOR ARMED FORCES

I. If restrictions are in place regarding women in combat roles, can women still attain the highest-level positions? Yes ☐ No ☐

J. Are women and men given equal access to desirable assignments and/or deployment?
Yes ☐ No ☐

K. Are married women or women with children given equal access to desirable assignments and/or deployment as other women and men? Yes ☐ No ☐

L. Are women and men deployed in equal numbers, including to peacekeeping missions?
Yes ☐ No ☐ If no, how could deployment opportunities be made more open and attractive to women?

M. Are women deployed in sufficient numbers within the same units so that they don't feel isolated?
Yes ☐ No ☐

QUESTIONS FOR POLICE SERVICES

I. Are women offered equal opportunities to serve in:
    a. non-clerical, operational positions Yes ☐ No ☐
    b. units other than domestic violence/family support units? Yes ☐ No ☐

J.   Are women and men given the same access to cars, computers, radios, telephones and other resources necessary to perform their jobs well? Yes ☐ No ☐

K.   Are women and men given equal access to desirable assignments and/or deployment? Yes ☐ No ☐

L.   Are married women or women with children given equal access to desirable assignments and/or deployment as other women and men? Yes ☐ No ☐

M.   If police personnel are involved in peacekeeping missions, are women deployed in equal numbers? Yes ☐ No ☐ If no, how could deployment opportunities be made more open and attractive to women?

QUESTIONS FOR JUSTICE SECTOR INSTITUTIONS

I.   Are processes for judicial and/or senior appointments equally open to men and women, both formally and in practice? Yes ☐ No ☐

Suggested sources of information

- Review human resources procedures on promotion, etc.
- Review rank- and sex- disaggregated salary data.
- Find out how individual performance is reported and assessed.
- Interview, conduct focus groups with and/or distribute a questionnaire to female and male personnel from various sections and levels of the institution.
- Interview representatives of staff associations.
- Look at the office floor plan to see whether men and women are equally assigned to the best offices and have equal access to work resources.

13) MENTORING AND SUPPORT

Where women are in a minority within a security sector institution, measures may be needed to ensure that they are encouraged to pursue leadership roles and that their views are represented. Often there are informal and unseen ways in which men receive support and guidance from other men to help them advance in an institution. These include getting advice about career moves from a more senior staff member, and learning from someone how to negotiate issues such as salary, duties, leadership opportunities and benefits. For most women in security sector institutions, these informal networks do not exist and women must proactively create them. Some institutions create formal programmes to help create support networks or mentoring systems for women.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A.   Is there a formal mentoring programme for female staff? Yes ☐ No ☐ If yes, please describe.

B.   How is formal/informal mentoring of female staff encouraged (for example, by time set aside within working hours for mentoring)?

C.   Is there an association of female personnel or women's section of a staff association? Yes ☐ No ☐
If yes, how does the institution support the association (e.g. funding, access to leadership, provision of time and facilities for activities), how many members does it have and what are its activities?

Suggested sources of information

- Look at written human resources procedures on mentoring.
- Review organisational chart for association of female personnel (or similar).
- Interview representatives of staff associations.
- Interview, conduct focus groups with and/or distribute a questionnaire to female personnel from various sections and levels of the institution.

14) INFRASTRUCTURE AND EQUIPMENT

Women may be excluded from security sector institutions in practice, or discouraged from staying, by inadequate facilities. Where an institution has only recently started to attract women, it may be necessary to invest in appropriate infrastructure and equipment.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. Are there separate and secure washing and changing areas for female and male staff in all of the institution's facilities? Yes ☐ No ☐

B. Are there appropriate uniforms for female personnel, including pregnant women, at every rank/level and in every role? Yes ☐ No ☐

C. Is there appropriate and secure accommodation for women in all training establishments, barracks, etc.? Yes ☐ No ☐

D. If housing is provided, what measures are taken to ensure that it is suitable for families (e.g. proximity to schools, childcare, health facilities)?

QUESTIONS FOR ARMED FORCES

E. When on operations, what provision is made for women's sanitary and toilet requirements?

F. Is all equipment needed by female personnel appropriate for female personnel (e.g. flak jackets, vehicle seat adjustability)? Yes ☐ No ☐

Suggested sources of information

- Inspect barracks and training establishments.
- Interview staff responsible for allocation of housing.
- Interview representatives of staff associations.
- Interview, conduct focus groups with and/or distribute a questionnaire to female personnel from various sections and levels of the institution.

THEME F: INSTITUTIONAL CULTURE

15) UNDERSTANDING OF GENDER ISSUES AND RELATIONS BETWEEN MALE AND FEMALE PERSONNEL

Institutional culture is that collection of values, history and ways of doing things that form the unstated 'rules of the game' in an institution. It defines what is valued as being important in the institution (which can be at odds with official mission statements and policies). Institutional culture can be a powerful ally in making work on gender equality a valued part of the institution's work, or can block progress on gender issues — making the institution difficult for women to work in or access.[8]

In terms of gender relations, institutional culture includes the norms and codes of behaviour that an organisation accepts or allows for men and women. The prevailing institutional culture may be discriminatory: for example, unspoken acceptance of jokes or language that degrade women (or others); always acknowledging or calling on men first in meetings or training; or informally limiting women to support roles. A closely related aspect of institutional culture is the quality of relations between male and female personnel.

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8 Rao, A., Stuart, R. and Kelleher, D., *What Is Gender at Work's Approach to Gender Equality and Institutional Change?*, p. 5, http://www.genderatwork.org/sites/genderatwork.org/files/resources/Gender_at_Works_Approach.pdf.

Furthermore, for an institution to be gender responsive, it is important for all staff to have an understanding of why it is important to address gender issues, both within the institution and in its relationship with the community, and to have a commitment to promoting human rights and gender equality.

In many security sector institutions, the initial training or induction phase is very important in shaping both attitudes toward gender issues and the dynamics between male and female personnel.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. Is there an understanding among male and female staff at all levels of why it is important to address gender issues? Yes ☐ No ☐

B. If there is already a gender policy or gender action plan, is it widely known about? Yes ☐ No ☐

C. What differences are there between how women and men view gender issues within the institution?

D. What information are new staff/recruits given about the institution's commitment to gender equality and human rights, its gender-related policies and procedures, the national legal and policy context, sexual harassment, etc.?

E. Are there respectful working relations between men and women? Yes ☐ No ☐

F. Are teams of mixed sex (or do they tend to be mostly either all women or all men)? Yes ☐ No ☐

G. Are expressions of gender inequality in the workplace discouraged or accepted (for example disrespectful computer screensavers, posters and jokes), and how? Give examples.

H. Are gender stereotyping and discrimination common within the institution? Yes ☐ No ☐

I. Is sexual harassment common within the institution? Yes ☐ No ☐

J. What are the most common types of sexual harassment that occur within the institution, against women and men? Give examples.

QUESTIONS FOR ARMED FORCES

K. Are there equal numbers of male and female instructors in initial training? Yes ☐ No ☐

QUESTIONS FOR POLICE SERVICES

K. Are there equal numbers of male and female instructors in initial training? Yes ☐ No ☐

Suggested sources of information

- Interview, conduct focus groups with and/or distribute a questionnaire to female and male personnel from various sections and levels of the institution.
- Interview human resources or equality officer.
- Interview representatives of female personnel.
- Examine records of complaints of harassment, bullying, discrimination, etc.
- Review induction processes and materials.
- Interview induction trainers.

16) LEADERSHIP AND PUBLIC PRESENTATION

Leadership is essential in shaping the institutional culture – both what leaders say and do about gender equality, and whether men and women are equally leaders. How an institution presents itself to the public both reflects and reinforces its institutional culture.

QUESTIONS FOR ALL SECURITY SECTOR INSTITUTIONS

A. Are women and men equally involved in decision-making, including at the highest levels?
Yes ☐ No ☐ If no, why not?

B. How is commitment to gender equality goals expressed at a high level within the institution?

C. Are both men and women in senior positions demonstrating commitment to and leadership on gender issues? Yes ☐ No ☐ If no, why not?

D. How do discussions and records of decision-making refer to gender obligations and goals?

E. How does the institution emphasise gender equality goals in how it presents itself to the public?

F. How is attention given to gender-sensitive language and images in documents produced by the institution?

G. What are the main strengths within the organisation that can be reinforced to address gender issues and advance gender equality?

H. What are the main challenges in organisational culture that need to be addressed?

Suggested sources of information

- Look at male/female composition of leadership bodies within the institution.
- Review records of internal meetings on gender issues to see who participates.
- Review records of decision-making to see whether gender goals and policies are referred to.
- Interview, conduct focus groups with and/or distribute a questionnaire to female and male personnel from various sections and levels of the institution.
- Review promotional materials.
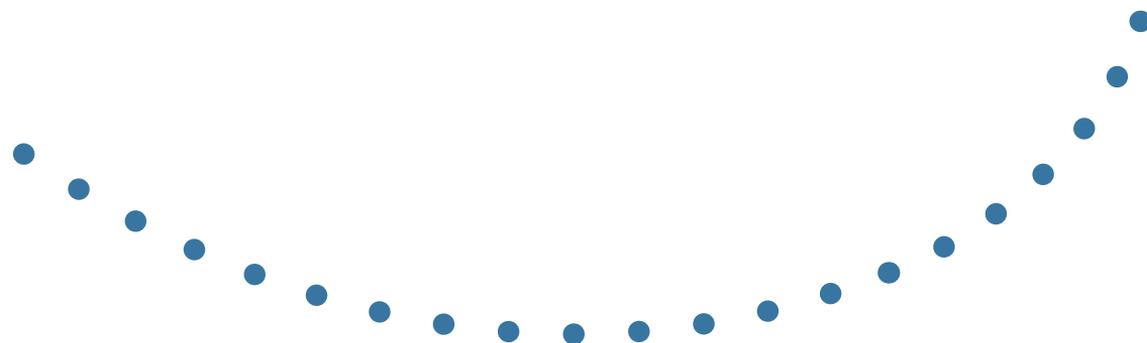
ADDITIONAL RESOURCES

ON COLLECTING DATA FOR YOUR ASSESSMENT

Interaction, *The Gender Audit Handbook* (Washington, DC: Interaction, 2010).

International Labour Organization, *A Manual for Gender Audit Facilitators: The ILO Participatory Gender Audit Methodology* (Geneva: ILO, 2007).

OMNI (undated), *Toolkit for Conducting Focus Groups*, http://www.omni.org/docs/FocusGroupToolkit.pdf.

USAID Center for Development Information and Evaluation, *Performance Monitoring and Evaluation Tips: Conducting Key Informant Interviews*; *Using Rapid Appraisal Methods*; *Conducting Focus Group Interviews* (Washington, DC: USAID , 1996).

World Bank, *Monitoring & Evaluation: Some Tools, Methods and Approaches* (Washington, DC: World Bank, 2004).

World Bank, *Social Accountability Sourcebook: Tools & Methods*, http://www.worldbank.org/socialaccountability_sourcebook/Tools/toolsindex.html.

ON ASSESSMENT OF SECURITY SECTOR INSTITUTIONS

American Bar Association, *CEDAW Assessment Tool* (Washington, DC: ABA, 2002).

Bajraktari, Y. et al., *The PRIME System: Measuring the Success of Post-Conflict Police Reform* (Princeton: Woodrow Wilson School of Public and International Affairs, 2006).

National Center for Women & Policing, *Self-Assessment Guide for Law Enforcement on Recruiting and Retaining Women* (Los Angeles: NCWP, 2000).

Popovic, N., 'Security sector reform assessment, monitoring & evaluation and gender', in M. Bastick and K. Valasek (eds) *Gender and Security Sector Reform Toolkit* (Geneva: DCAF, OSCE/ODIHR, UN-INSTRAW, 2008).

UN Office on Drugs and Crime, 'Gender in the criminal justice system assessment tool', *Criminal Justice Assessment Toolkit* (New York: United Nations, 2010).

Vera Institute of Justice, *Measuring Progress toward Safety and Justice: A Global Guide to the Design of Performance Indicators across the Justice Sector* (New York: VIJ, 2003).

ON GENDER BUDGETING

Budlender, D. and Sharp, R., *How to Do a Gender-sensitive Budget Analysis* (London: AusAID and Commonwealth Secretariat, 1998).

Quinn, S., *Gender Budgeting: Practical Implementation Handbook* (Strasbourg: Council of Europe, 2009).

South African Department of Justice and Constitutional Development, *Budget Analysis and Assessment Instrument and Gender Responsive Budgeting Guidelines* (Pretoria: DJCD, 2005), www.justice.gov.za/branches/gender/gender.html.

UN Women, Gender Responsive Budgeting Portal, http://www.gender-budgets.org/index.php?option=com_content&view=frontpage&Itemid=586.

UNIFEM and NGLS, *Bridging the Gap: Financing Gender Equality* (New York: United Nations, 2008).

EXAMPLES OF GENDER ASSESSMENTS OF SECURITY SECTOR INSTITUTIONS

Burns, J. and Hanson, M., *Review of Progress in Gender Integration in the New Zealand Defence Force* (Wellington: NZDF, 2005).

DCAF, 'Police self-assessment of recruitment and retention of women', in *Gender and Security Sector Reform: Examples from the Ground* (Geneva: DCAF, 2011).

New Zealand Defence Force and New Zealand Human Rights Commission, *Report of the Gender Integration Audit of the New Zealand Defence Force* (The Burton Report) (Wellington: NZDF, 1998).

South African Department of Justice and Constitutional Development, *Gender Mainstreaming, Assessment Report and Needs Assessment Report* (Pretoria: DJCD, 2005), www.justice.gov.za/branches/gender/gender.html.

ON ACTION PLANNING

Interaction, *The Gender Audit Handbook* (Washington, DC: Interaction, 2010).

Rao, A., Stuart, R. and Kelleher, D., *Gender at Work: Organisational Change for Equality* (Washington, DC: Gender at Work, 1999).

Valasek, K., *Securing Equality, Engendering Peace: Policy and Planning on Women, Peace and Security* (Santo Domingo: UN-INSTRAW, 2006).

EXAMPLES OF GENDER ACTION PLANS IN SECURITY SECTOR INSTITUTIONS

Netherlands Ministry of Defence, 'ActiePlan Gender' (Plan of Action for Gender Issues 2004–2010), http://www.iiav.nl/epublications/2004/Actieplan_Gender.pdf; 'Genderforce' (2006), http://www.rijksoverheid.nl/bestanden/documenten-en-publicaties/brochures/2006/09/29/genderforce-engelse-versie/genderforce-en.pdf.

Northern Ireland Policing Board Gender Action Plan 2008, http://www.psni.police.uk/final_gender_action_plan.pdf.

Kent Police (England) Gender Action Plan 2010–2013, http://www.kent.police.uk/about_us/diversity/attachments/GES%20Action%20Plan%202010-13.pdf.

Scottish Justice Department, Gender Equality Duty Action Plan, http://www.scotland.gov.uk/Publications/2007/03/30095002/22.

Scottish Prison Service Gender Equality Scheme, 2007, http://www.sps.gov.uk/EqualityandDiversity/gender.aspx.

Surrey Police (England) Gender Equality Scheme, 2007–2010, http://www.surrey.police.uk/gender_equality_scheme.pdf.

United Kingdom Equality and Diversity Schemes 2008–2011 incorporating armed forces, wider Ministry of Defence and Ministry of Defence Police, http://www.mod.uk/NR/rdonlyres/98E4EAB6-CE02-4F39-9EF2-17DD054C5905/0/eqdivschemes20082011.pdf (see armed forces gender action plan at A-23, wider departmental gender action plan at B-29 and Ministry of Defence Police gender action plan at C-45).

APPENDICES

APPENDIX 1: EXAMPLES OF GENDER-BASED VIOLENCE

Domestic violence (also called family violence or intimate partner violence)

Femicide

Forced abortion

Forced pregnancy

Forced sterilisation

Harmful traditional practices
- *Crimes against women committed in the name of 'honour'*
- *Dowry-related violence*
- *Early marriage*
- *Female genital mutilation*
- *Female infanticide*
- *Forced marriage*
- *Son preference*

Incest

Sexual harassment and violence in the workplace, educational institutions and in sport

Sexual violence
- *Forced prostitution*
- *Gang rape*
- *Rape*
- *Sexual abuse*
- *Sexual exploitation*
- *Sexual slavery*

Stalking

Trafficking in human beings

Violence against children (girls and boys)
- *Corporal punishment*
- *Mental violence*
- *Neglect or negligent treatment*
- *Physical violence*
- *Sexual abuse and exploitation*
- *Torture and inhuman or degrading treatment or punishment*

Whether these forms of gender-based violence are crimes under national law varies from country to country, and different terminology may be used to describe these acts of gender-based violence.

Useful references for international definitions of gender-based violence

Committee on the Rights of the Child, General Comment No. 13 (2011), 'Article 19: The right of the child to freedom from all forms of violence', 21 March 2011, CRC/C/GC/13.

International Criminal Court, *Elements of Crimes*, 9 September 2002, ICC-ASP/1/3(part II-B).

Paulo Sérgio Pinheiro, Independent Expert for the UN Secretary-General's Study on Violence against Children, *World Report on Violence Against Children* (Geneva: ATAR Roto Presse, 2006).

UN General Assembly, Report of the Secretary-General, 'In-depth study on all forms of violence against women', 6 July 2006, A/61/122/Add.1.

UN General Assembly, Resolution 48/104, 'Declaration on the Elimination of Violence against Women', 20 December 1993.

# APPENDIX 2: SAMPLE WORKPLAN FOR A GENDER SELF-ASSESSMENT

Your organisation may already have a planning tool that can be used for your gender self-assessment. Doing so may have the advantage that staff already understand how the planning tool works.

This workplan is adapted from one developed by a security sector institution for an actual gender self-assessment. It is provided as an example of how a self-assessment working group might plan each part of the process, including considering risks, tailoring the assessment, collecting information, developing the assessment report and developing a gender action plan. In this example, the security sector institution worked with an external consultant, so responsibilities are assigned between the institution and the consultant.

SSI = security sector institution

Objective	Activity	Output	Deadline	Budget Items	SSI Responsibility	Consultant responsibility	Indicators and means of verification	Risks and responses
1. Determine the current good practices, gaps and needs regarding gender at the SSI	Develop and conduct survey Interviews	Compilation of survey data, included in assessment report	31 July: Finalise both surveys 24 August: Results of survey compiled 25 September: Results analysed		1. Draft surveys 2. Distribute and gather survey results 3. Compile survey results 4. Jointly analyse results 5. Revise survey analysis 6. Integrate survey analysis into assessment report	1. Provide feedback on draft surveys 2. Jointly analyse results 3. Draft survey analysis	1. Relevant data collected on good practices, gaps and needs regarding gender at SSI *MoV: Compiled survey results, data collection reports* 2. Relevant data analysed and translated into useful policy documents *MoV: Assessment report*	1. Lack of political will *Response: Regular updates and consultation with senior board; statement of support from president* 2. Low return rate of surveys *Response: Statement of support from president; contact and follow-up via e-mail and phone*
	Interviews	Compilation of interview information, included in assessment report	29 July: Draft list of interviewees and list of interview questions exchanged for feedback August: Interviews		1. Draft list of interviewees 2. Finalise interview questions 3. Conduct interviews and compile information	1. Draft interview questions 2. Feedback on list of interviewees		
	Focus group discussions	Focus group report, included in assessment report	5 August: Draft focus group questions September: Focus groups with staff October: Focus groups with students	Coffee/tea breaks	1. Finalise focus group questions 2. Jointly conduct focus groups 3. Review focus group report	1. Draft focus group questions 2. Jointly conduct focus groups 3. Draft focus group report (2,500 words)		
	Review of policies and procedures, including human resources	Report, included in assessment report	5 August: Draft checklist 28 August: Draft report September: Final report		1. Conduct review 2. Draft report (2,500 words)	1. Draft checklist 2. Feedback on draft report		
	Draft assessment report	Assessment report	5 August: Consultant submits draft outline of report 18 August: Final outline September: SSI draft of report October: Final report	Printing costs	1. Joint draft outline of assessment report 2. Draft assessment report 3. Finalise assessment report	1. Joint draft outline of assessment report 2. Review and edit assessment report		

Objective	Activity	Output	Deadline	Budget Items	SSI Responsibility	Consultant responsibility	Indicators and means of verification	Risks and responses
2. Develop a gender action plan	Gender action plan workshop	Gender action plan	September: Draft agenda and list of participants October: Workshop	Cost of transportation for non-SSI participants Facilities and lunch	1. Draft workshop list of participants 2. Review workshop agenda 3. Jointly facilitate workshop 4. Present draft action plan to senior board for input and approval	1.Draft workshop agenda 2. Review participant list 3. Jointly facilitate workshop	1. Gender action plan developed in a participatory manner *MoV: List of people consulted Documentation of action plan development process* 2. Gender action plan adopted *MoV: Statement by president*	1. Lack of political will *Response: Individual meetings with senior personnel*
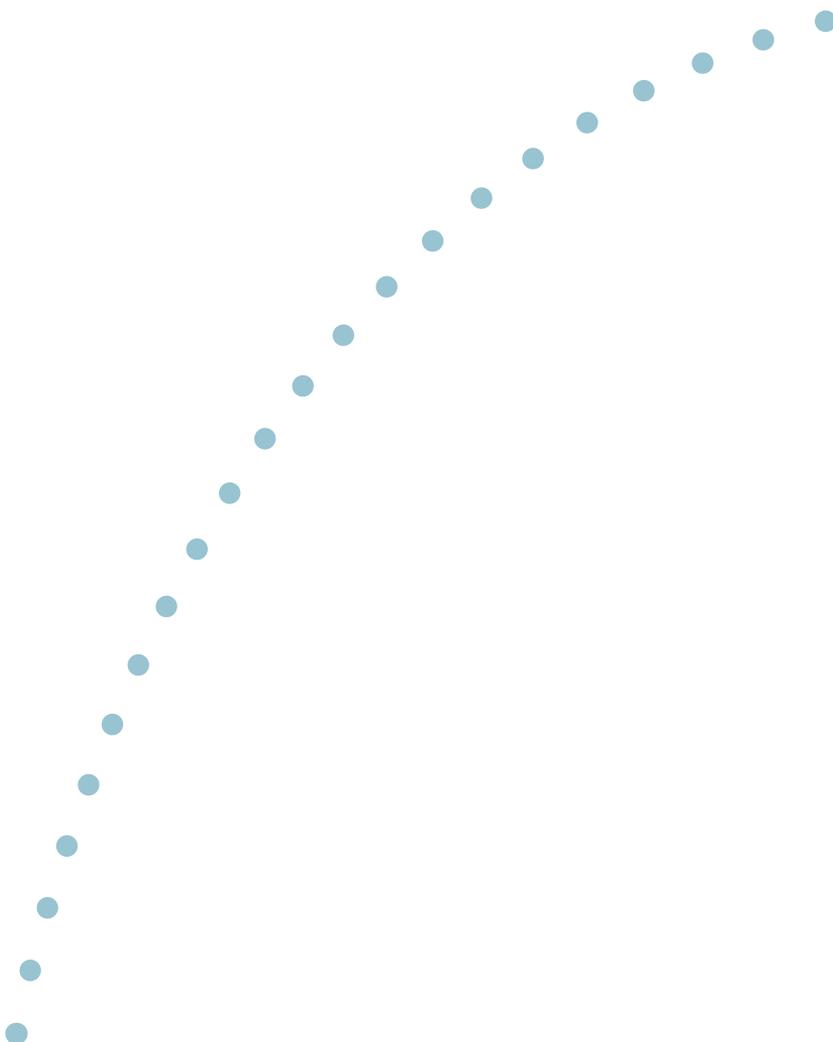
APPENDIX 3: ADVICE ON CONDUCTING INTERVIEWS[9]

Preparation is the key to conducting an interview successfully. Interviewers should ensure that they are well prepared. Before the interview, the interviewer should:

- prepare the interview environment (office or meeting room), and eliminate distractions, phone calls, conflicting appointments
- review the interview questions to ensure they are sensitive to the interviewee's place in the hierarchy of the institution and tailored accordingly.

The following steps ensure a sense of direction and control during the interview.

What to do	How to do it
1. Develop rapport	• Break the ice with appropriate non-threatening topics • Be friendly but avoid excessive small talk • Present interview agenda/timing • Let the interviewee know you will take notes
2. Control the interview	• Prevent rambling and unrelated discussions • Make sure the interviewee answers your questions • Use silence rather than avoid it: let the person think!
3. Gather information	• Use a variety of questions and question types • Do not speak less than 10% or more than 25% of the time • Rephrase questions if answers are not clear • Be candid with your questions
4. Seek a balanced picture	• Avoid getting a one-sided picture of the situation • Ask questions to get a balanced picture • Ask for strengths and weaknesses, positives and negatives
5. Take notes	• Get key ideas/information and fill in details later
6. Deal with questions	• Make sure you give enough information to clarify • Do not answer questions if you feel they are inappropriate
7. Close the interview	• Discuss the next steps in the gender self-assessment • Give timeframe for future contact • Leave door open to seek further clarification if needed
8. Complete your notes	• Right after the interview, complete your notes to record examples, anecdotes or any areas for further probing

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9 Adapted from ILO, *A Manual for Gender Audit Facilitators* (Geneva: ILO, 2007) pp. 39–40.

APPENDIX 4: SAMPLE GUIDELINES FOR A FOCUS GROUP[10]

1. INTRODUCTION: OBJECTIVES OF THE GENDER SELF-ASSESSMENT

The institution is undertaking a gender self-assessment. This aims to make the institution more gender responsive, by working out what we are doing well and where we might improve.

Self-assessment looks at how the institution is working across a range of factors:
- performance effectiveness
- laws, policies and planning
- community relations
- accountability and oversight
- personnel
- institutional culture.

To undertake the institutional self-assessment we have worked at a number of different levels:
- review of documentation
- questionnaires
- interviews
- field visits.

2. OBJECTIVE OF FOCUS GROUP

To have the opportunity to raise a few issues relating to gender relations and structures within the institution, and how gender is addressed in the services the institution provides to the community.

3. A NUMBER OF SHORT PARTICIPATORY EXERCISES (IN TIME AVAILABLE)

3i. Most important gender issues in country today?
- Listing
- Ranking

3ii. Institution's gender policy
- Definitions of gender and gender mainstreaming
- Clarification of gender mainstreaming →
  - Objective – gender equality
  - Strategy
    - ✓ Ensuring both women's and men's needs and interests are integrated into service provision and operations
    - ✓ Empowering women through participation and in decision-making
  - Outcome – gender equality and women's empowerment

4. DISCUSSION ABOUT GENDER RESPONSIVENESS OF SERVICE PROVISION

'Strengths, weaknesses, opportunities and threats' (SWOT) exercise to explore:
- main institutional strengths to be gender responsive in service provision
- main weaknesses in being gender responsive in service provision
- main opportunities that we can make use of
- main constraints that we need to overcome.

5. DISCUSSION ABOUT GENDER AND INSTITUTIONAL CULTURE

Facilitated discussion of the following questions.
- What gender issues do you think are important within the institution itself?
- What are working relations between men and women like?
- Why aren't there more women at senior levels?

6. OPEN DISCUSSION

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10 These guidelines were adapted from Moser, C., *An Introduction to Gender Audit Methodology: Its Design and Implementation in DFID Malawi* (London: Overseas Development Institute, 2005), pp. 32–33.

APPENDIX 5: SAMPLE TEMPLATE FOR A GENDER SELF-ASSESSMENT REPORT[11]

Table of contents

Executive summary – highlights main points of report including background, methodology and process, and main conclusions and recommendations

Acknowledgements – people instrumental in promoting or organising the self-assessment and carrying it out

List of abbreviations and acronyms

Introduction – purpose of the institutional self-assessment and report, background to self-assessment including dates and process

Methodology – how assessment was designed, how information was collected and analysed

Main findings under each theme, including strengths and challenges:
- performance effectiveness
- laws, policies and planning
- community relations
- accountability and oversight
- personnel
- institutional culture

Good practices – these can be included under findings, but it can be useful to create a separate section to highlight them

Recommendations – if the terms of reference for the assessment foresee making recommendations

Annexes – including list of documents reviewed; list of interviewees; list of focus groups held; copy of any questionnaires used

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11 Adapted from ILO, *A Manual for Gender Audit Facilitators* (Geneva: ILO, 2007), p. 142.

APPENDIX 6: SAMPLE TEMPLATE FOR A GENDER ACTION PLAN[12]

Your organisation may already use an action planning tool that can be adapted for your gender action plan. Doing so may have the advantage that staff already understand how the planning tool works, and there may already be systems in place for monitoring and reporting on progress.

This gender action plan template is provided as an example of the elements that should be included in a gender action plan. It can be adapted to suit your organisation.

Gender Action Plan								
Authorised by: Date: To be reviewed on:								
Area of work	Activities [sample]	When	Where	Responsible party	With whom	Resources	Monitoring and reporting	Evaluation
Performance effectiveness	Achieve 100% follow-up of complaints of domestic violence	By end 4th quarter 2012	All offices	Chief constables	Training unit, community organisations	Core time, materials	Quarterly; meeting of chief constables	Data on follow-up of complaints
Laws, policies and planning	Create inter-departmental gender team with terms of reference (TORs)	January 2012	All offices	National and regional heads of department	Human resources	Core time	Monthly; meeting of heads of department	Approved TORs
	Update gender policy	1st quarter 2012	Headquarters	Gender team	Equality officers, human resources, community liaison boards	Core time, materials, funds	Monthly; gender briefing to national heads of department	Published policy
Community relations	Include representatives of women's organisations in community liaison boards	February–March 2012	All offices	Community liaison teams	Community organisations	Core time, funds, travel, logistics	Monthly; community liaison briefing to national heads of department	Invitations issued Induction training completed
Accountability and oversight	Develop complaints and investigation procedure for sexual harassment	1st quarter 2012	Headquarters	Human resources	Gender team, equality officers	Core time	Monthly; human resources briefing to national heads of department	Approved complaints and investigation procedure for sexual harassment
Personnel	Review recruitment strategies to develop targets and strategies to improve female recruitment	1st and 2nd quarters 2012	Headquarters	Human resources	Gender team, equality officers	Core time, materials, funds	Monthly; human resources briefing to national heads of department	Targets for female recruitment set, recruitment materials and strategies revised
	Publish policy on managing pregnant workers	3rd and 4th quarters 2012	Headquarters	Human resources	Gender team	Core time	Monthly; human resources briefing to national heads of department	Published policy
Institutional culture	Train all induction trainers on gender	1st and 2nd quarters 2012	All training centres	Training unit	Gender team, community organisations	Core time, materials, funds, travel, logistics, consultants	Quarterly; training briefings to national and regional heads of department	Training reports

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12 This gender action plan template was adapted from Interaction, *Gender Audit Handbook* (Washington, DC: Interaction, 2010), p. 54.

APPENDIX 7: SAMPLE TEMPLATE FOR COLLECTING INFORMATION ABOUT TRAINING

Title of training module *[sample]*	Training objectives	Training participants	Trainers	Training materials	Duration (minutes)	External resource persons
UNSCR 1325 and 1820	Explain content of SCRs; operational implications	Officers	Gender adviser	Trainers' notes, handouts	120	Academics from university
Sexual exploitation and abuse	Explain applicable codes of conduct	All levels	Peace operations trainers	Trainers' notes, case study exercises	60	Anti-trafficking NGO
Gender analysis in operations	Teach gender analysis techniques; practical application in security assessment, intelligence	Officers	Gender adviser	Trainers' notes, case study exercises	60	-
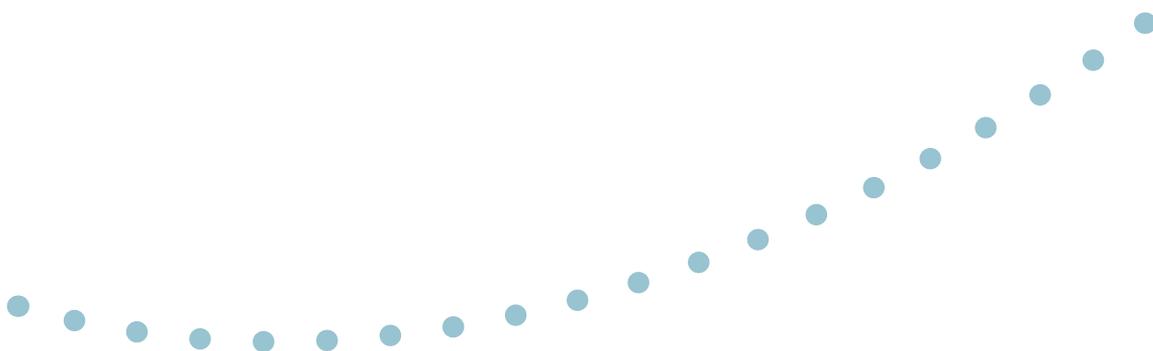
ANNEX 1: EVALUATION OF THIS GUIDE

We would value your feedback on this self-assessment guide – how you used it, whether you found it useful and what you would suggest changing. Should feedback indicate the need, we intend to release an updated version of the guide.

We would be interested in your responses to some or all of the following questions.

1. With what type of institution did you use the self-assessment guide?

    ☐ Armed forces
    ☐ Police
    ☐ Justice
    ☐ Other (please specify)

2. What were you hoping to get out of the assessment process?

3. What structures were set up to conduct the assessment?

4. Was the introductory information in Chapters 1 and 2 adequate and helpful?

5. Did you follow the eight-stage process? If not, which stages did you leave out and why?

6. How did you tailor the assessment process?

7. What techniques did you use for collecting information? For example:

    a. document review
    b. key informant interviews
    c. questionnaires
    d. focus group discussions
    e. site visits
    f. community group interviews
    g. mini-survey
    h. comprehensive survey
    i. any other method.

8. How did you analyse the information gathered and write the report?

9. Did you find any of the questions unclear?

10. Were there any dimensions for which you were not able to get adequate information? Why not?

11. Were there any issues not included in the self-assessment guide that you found to be important?

12. Were there any issues included in the self-assessment guide that in your opinion should not be included?

13. What has the impact of the assessment been? What follow-up has there been?

14. What revisions would you suggest we make to the self-assessment guide?

Please send comments by e-mail to gender@dcaf.ch or post them to:

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