

Annexes

ANNEX I: INTERVIEW SAMPLE

Canada

The average length of the Canadian interviews was 1 hour 25 minutes.¹ In the pre-interview phase a total of 14 departments were identified in which GBA activity was assumed. This assumption was based on the participation of these departments in the IDC on GBA and on existing and published case studies. With the support of SWC, knowledgeable individuals and GBA experts in the respective departments were identified and contacted by email, followed up by phone calls in case of non-responsiveness. Of these 14 departments, a total of 18 members representing 12 departments initially agreed to participate in an expert interview on GBA. Two departments declined the interview request. In addition to the public servants, two external academic experts on GBA, who are professors at two Canadian universities, were interviewed. Three original participants from two departments later withdrew their interviews in the review process. Reasons for withdrawal did not need to be stipulated. In the end, a total of two scholars and 15 public servants representing ten Canadian Federal Departments (as listed in the following table 26) remained in the final sample.

1 | All Candian interviews were conducted between January 22, 2008 and April 4, 2008.

Table 27: Participation Statistics Expert Interviews Canada

Canadian Departments	Interview request accepted by dep.	No. of interviewed persons	No. of persons with-drawing interviews	No. of persons remaining in sample	No. of federal dep. participants	No. of confidential participation
AANDC/ DIAND	1	3	0	3	3	
Health Canada	1	2	0	2	2	
CIDA	1	1	0	1	1	
SWC	1	1	0	1	1	
Statistics Canada	1	1	0	1	1	
Agriculture and Agrifood	1	1	0	1	1	1
CIC	1	1	0	1	1	1
DEFAIT	1	1	0	1	1	1
HRSDC	1	2	0	2	2	1
Defence Canada	1	1	1			
Treasury Board	1	2	0	2	2	2
Finance Canada	1	2	2			
Privy Council						
Industry Canada						
External Academics	2	2		2		
TOTAL	14	20	3	17	15	6

Six participants opted for full confidentiality, as opposed to eleven who were non-confidential participants, i.e., they were willing to have their name and departments made known. In order to protect the anonymity of individual participants, codes were attached to each individual participating in the interview.² Confidentiality was a relevant concern for Canadian public servants: Six of the 15 public service participants agreed to the interview only after repeatedly following up on the interview request, and by clarifying the ethical, multi-step research process, guaranteeing full confidentiality. With regard to the positions inhabited in the department, in some (but not all) cases the exact position was generalised in order to not endanger the confidentiality status of the person.

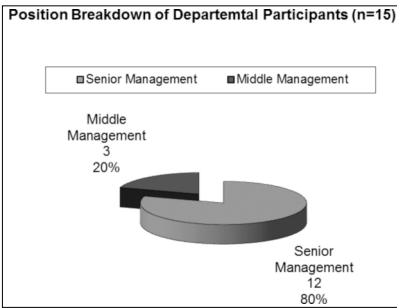
2 | The acronym PA represents participant, the adjacent figure was randomly chosen in order to systemise interviews, without further attributed significance.

Table 28: Canadian Interview Participants' Statistics by Positions, Acronyms and Gender

Department/Institution	Position	Name of participant or code-acronym	Sex of participant
Anonymous Federal Dep.	Senior Advisor	CAN1	male
Anonymous Federal Dep.	Senior Analyst	CAN2	male
Anonymous Federal Dep.	Senior Analyst	CAN3	female
Anonymous Federal Dep.	Senior Management	CAN4	female
Anonymous Federal Dep.	Senior Management	CAN5	female
Anonymous Federal Dep.	Senior Management	CAN6	female
Anonymous Federal Dep.	Policy Analyst	CAN7	female
Canadian International Development Agency	Senior Management	Diana Rivington	female
Health Canada	Senior Policy Analyst	Jennifer Payne	female
Health Canada	Senior Policy Analyst	Sari Tudiver	female
Aboriginal and Northern Affairs Canada/Indian and Northern Affairs Canada	Senior Policy Analyst	Monique Lucie Sauriol	female
Aboriginal and Northern Affairs Canada/Indian and Northern Affairs Canada	Policy Planning Officer	Audrey Hanningan-Peterk	female
Aboriginal and Northern Affairs Canada/Indian and Northern Affairs Canada	Research and Planning Officer	Marcel Williamson	female
Statistics Canada	Senior Analyst	Colin Lindsay	male
Status of Women Canada	Senior Policy and Programme Advisor	Michèle Bougie	female
University of Toronto, Ontario Institute for Studies of Education	Professor for Sociology and Equity Studies in Education	Margrit Eichler	female
University of Laval, Quebec	Professor for Law and Chaire d'étude Claire-Bonenfant sur la condition des femmes	Louise Langevin	female

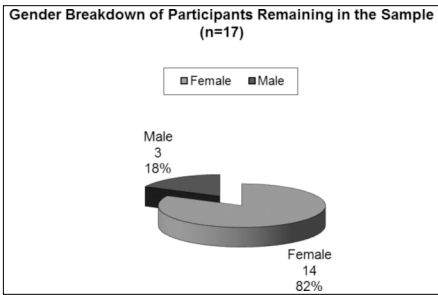
Accordingly, for the protection of privacy, only a general distinction between senior management, senior advisor, senior analysts (senior management) and general analysts, gender experts or policy officers (middle management) was made, thus not disclosing the detailed hierarchical position in the respective departments.

Table 29: Departmental Participant’s Position Breakdown



The sample demonstrates that persons who were prepared to answer questions pertaining to GBA and gender equality are still predominantly female (80 per cent)—not surprising given that most of the gender experts in gender equality units agreed to participate. The reluctance of (male) departmental analysts, evaluator and programme managers to reflect on departmental GBA practices, could indicate either a lack of actual implementation and integration in routine analysis or a selection bias that is based on which departments (with a more *soft* policy focus) were approached—or both. The analysis of the gender bias in the sample remains inconclusive.³ An analysis of the inevitably gendered interactions⁴ and the *doing gender* between (male) researcher and (female/male) interviewees was not attempted due to methodological concerns and impracticability.⁵

Table 30: Gender Breakdown of Participants Remaining in the Interview Sample



The high number of gender experts (80 per cent) with departmental (Dep.) gender duty does not allow for quantifiable conclusions on the sophistication of the Canadian

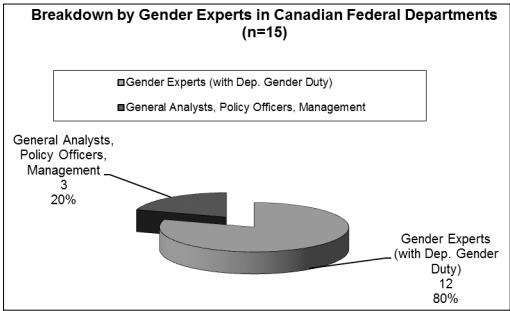
3 | For incorporating intersectionality in my sample, I initially intended to also register race/ethnicity and age of the interviewees (rendered anonymous). In the case of Canada, racial/ethnic self-determination would have been a known and most likely accepted procedure, but in the European Union context not. Age is in both context a sensitive issue prone to discrimination, which in the end of the day made me decided against it.

4 | Littig 2009.

5 | Beate Littig recommends the reconstruction of gendered interactions only for a group of researchers, being able to commonly reflect on the interview situation as well as the text from multiple perspectives (Littig 2009, 194).

gender equality machinery and equality governance. Based on selection bias as first and foremost (although not in all cases), SWC’s departmental GBA Committee members were contacted. From there, the reach out followed the snowball principle, asking the first contact person for other, additional knowledgeable people in the respective department. Due to this selection technique, the alleviated level of gender expertise in the sample guaranteed for advanced insights into the necessity of GBA implementation equality frameworks. It had the disadvantage that very few first-hand experiences with actually using the tool GBA were included, due to the few participating general analysts or policy officers.

Table 31: Breakdown by Gender Experts in Canadian Federal Departments



With regard to the comparative content analysis of the expert interviews, it is important to note the different expert status as well as the different roles of the interrogated gender experts, policy analysts and academics.⁶ Whereas the gender experts demonstrated a professional devotion to enhancing GBA, resulting in comparative openness about departmental practices, the interviewed policy analysts, senior managers, and other departmental representatives were more reluctant to admit to failures or insufficient implementation practices that did not live up to the official equality mandates and regulations. Both categories of experts were subject to departmental and governmental loyalty.

In terms of equivalency, the external, non-public servants and third expert category of academics interviewed were feminist scholars. In spite of their academic interest in the field of GBA and gender mainstreaming, and even their involvement in tool development, they were one step removed from governmental implementation practices. Although they answered freely with regard to their expert judgement of governmental GBA implementation, their positions might have been influenced in return by some professional interest in creating demand for academic external expert advice, their tools and/or further contracted research in their field of expertise.

The average Canadian expert interview took 1 hour and 25 minutes and was conducted face to face in person on site, in the respective department. The interview atmosphere was generally open, and no question was ever declined or left unanswered. The Canadian interviewees used the revision and authorisation step of the written verbatim transcript in order to clarify individual issues, correct typos or to delete single parts of sentences that were found nonsensical in that

6 | Meuser/Nagel 2010.

context. No other interventions were made to the content of the original transcript and no answers to questions were withdrawn, although all participants were given the option to do so. In particular the step of allowing participants to have a say on the final transcript proved to be vital in encouraging participation and establishing an open, trusting interview atmosphere.

European Union

The average EU interview took 47 minutes and was significantly shorter than the Canadian average interview (1 hour 25 minutes).⁷ I adapted the semi-guided questionnaire used in the Canadian interview sample by deleting two questions on communication strategies (4.1 and 4.2), not applicable to the EU context. Instead I inserted an additional question (5.1) pertaining to the role of equality players outside of the DG structure, such as the European Institute for Gender Equality, to the DG's IA (see Annex IV). The reason for the shorter interview span is not the one question less, but time constraints. In most cases EU participants were not able to allocate more than 45 minutes for the interview and communicated this time constraint to me in advance.

The heads of all 33 Directorate-Generals were contacted by email and as well as individual members of all existing IA and evaluation units, which I retrieved from the directory. Of the 33 DGs, heads of nine DGs responded and consented to participate in the study, linking me to the person(s) in charge within their Directorate-General. Additionally, I contacted four tool developers of GIA and the integrated IA tool (one internal and two external experts), of which three participated.⁸ The European Institute for Gender Equality was also contacted, but declined an interview twice,⁹ first due to the assumption that the research request “falls outside the mandate of EIGE”¹⁰ and then, upon repeated request due “no appropriate data”¹¹ at the time.

All interviews were conducted by phone or via video-conferencing between 2011 and 2012 (not face-to-face). Since all interviewed DG experts opted for full confidentiality, their respective acronyms are not linked to their Directorate-General. Instead, I assigned a series of 17 acronyms ranging from EU10 to EU26, whereof EU10 to EU25 represent interviewed gender experts, policy analysts and members of senior management (heads of units, team leaders etc.) currently employed in nine Commission DGs. EU26 represents one internal expert and tool developer, still employed in the DG administration and therefore also treated with full confidentiality. Anne Havnør, at the time of tool development formerly national seconded Norwegian expert working for DG Employment, and the external academic expert Conny Roggeband agreed to have their names and positions disclosed.

7 | All EU interviews were conducted between 9 September 2011 and 29 February 2012.

8 | One anonymous, Conny Roggeband and Anne Havnør agreed to disclose their names.

9 | Instead, I was recommended by EIGE to direct my request to the EP or the EC (Email from EIGE <EIGE.SEC@eige.europa.eu>, August, 26th 2011, on file with the author).

10 | Email from EIGE <EIGE.SEC@eige.europa.eu>, 26 August 2011, on file with the author.

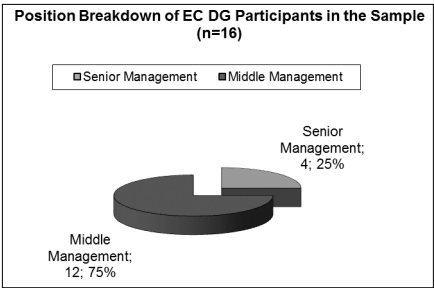
11 | Email from EIGE <EIGE.SEC@eige.europa.eu>, 2 September 2011, on file with the author.

Table 32: Sample of Participating Directorate-Generals and Positions of Interviewed EU Experts

European Commission, Directorates-General (DGs)	No. of Participants	Participants Position (Acronyms EU10 – EU26)
EuropeAid Development & Cooperation (DEVCO)	2	1 Senior Management; 1 Administrative Officer (all anonymous)
Translation (DGT)	1	1 Senior Management
Education and Culture (EAC)	6	5 Policy or Evaluation Officers, Assistant Officers and Co-ordinators; 1 Senior Management (all anonymous)
Employment, Social Affairs and Inclusion (EMPL)	1	1 Evaluation Officer (anonymous)
Enterprise and Industry (ENTR)	1	1 Policy Officer (anonymous)
Eurostat (ESTAT)	1	1 Senior Management (anonymous)
Home Affairs (HOME)	1	1 Evaluation & Impact Assessment Officer (anonymous)
Justice (JUST)	1	1 Policy Co-ordinator (anonymous)
Research and Innovation (RDT)	2	1 Senior Management; 1 Policy Officer (all anonymous)
Internal Experts & Tool Developers	2	1 Former Seconded National Expert, DG Employment (Anne Havnor); 1 Commission Civil Servant (anonymous)
External Experts & Tool Developer	1	1 Scholar (Conny Roggeband)

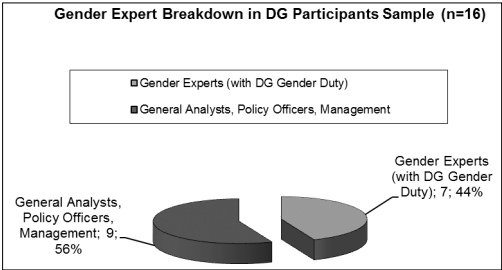
This high degree of confidentiality obstructs the policy field specific analysis of GIA implementation, but still allows for the identification of general patterns, challenges, and driving factors for GIA or gender in IA implementation. The representation according to positions in senior or middle management roles is reversed in comparison to the Canadian sample, thus resembling common hierarchical structures within public administration in more representational ways.

Table 33: Position Breakdown of European Commission DG’s Participants



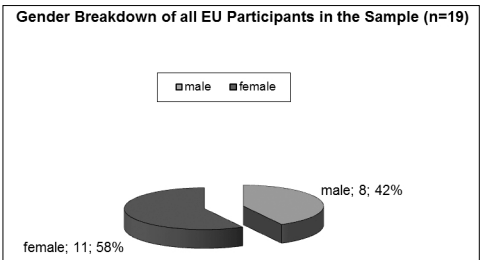
Almost half of the interviewed DG experts (n=16) were gender experts (seven), which is a smaller percentage than in the Canadian sample. It would be premature to draw conclusions regarding a more successful degree of gender mainstreaming or more support for gender equality structures, from this fact, since there is a heavier Canadian bias towards gender experts due to the different selection techniques.

Table 34: Gender Experts in the European Commission Directorate Generals



The overall gender breakdown was 42 per cent male and 58 per cent female experts of the 19 participants, which was more balanced than the Canadian interview sample. As in the case of Canada, the selection technique could have posed a severe bias, since all DGs were approached in a twin track strategy: Once via contacting the heads of DGs and asking for knowledgeable persons within the department, and second via identifying individuals through the Commission’s directory and IA authorship. Both routes of access were snowballed until a minimum of one DG representative was willing to participate in the study. An interesting particularity of the snowballing technique was that my request to the heads of DGs was forwarded to either the gender experts in the Directorate-General or back to the DGs responsible for the EU’s equality duty, instead of identifying people in the respective evaluation and IA units. This indicates a lack of knowledge about the roles and responsibilities for the top-down strategy of gender mainstreaming, a strategy meant to be implemented by all actors. Such problematic field access strengthened the hypothesis that gender is not yet sufficiently mainstreamed in bureaucratic structures and processes and that the IA system has not yet been perceived as an implementation arena even among the top management. As for the Canadian sample, an analysis of the gendered interactions¹² and the *doing gender* between (male) researcher and (female/male) interviewees was not attempted.

Table 35: Gender Breakdown of all European Commission Participants



12 | Littig 2009.

ANNEX II: INVITATION LETTERS

Invitation Letter—English

Dear Ms./Mr. [...],

My name is Arn Sauer, I am a PhD candidate at the Department of Interdisciplinary Women and Gender Studies of Humboldt University, Berlin, and an associate researcher with the Simone de Beauvoir Institute for Women's Studies at Concordia University, Montreal.

I am currently conducting dissertation research comparing Gender-based Analysis (GBA) in a Canadian context with Gender Impact Assessment (GIA) in Europe. The full (working) title of this study, for which I also collaborate with the Status of Women Canada, is ***“Comparative Analysis of and Experiences with and Application of Gender-Based Analysis in Canadian and Gender Impact Assessment in European Legislation, Policies, Programs and Services of Governmental Bodies.”*** The goal of this comparative study is to provide mostly qualitative but also some quantitative data for a gender-based approach to policy development and program planning. Additionally, I will be questioning basic assumptions of gender and the notion of difference, as well as evaluating the current strategies commonly used in policy formulation (GBA/GIA), which ensure that gender factors are part of the process from the onset. In comparing and evaluating the efficacy of the various forms of GBA/GIA in Canada and Europe, I will develop best practice models through case studies that support policy and program makers. The interview results will be used for publication of the final dissertation thesis and/or research essays as well as in a research paper for the Policy Section of the Status of Women Canada.

I have chosen to contact you, as a representative of the [...] in the position of [...], because of your specialization in the subject in question. I would like to ask you to participate in an approximately 1 ½ hour face-to-face tape-recorded interview, in which I will pose questions regarding the application and results of GBA in your institution, organization and/or agency. Participation in the interview is entirely voluntary and will not be remunerated. The interview will be conducted in English only (my apologies in advance) at a place and time of your choosing. I assure you that the research will be conducted in full accordance with the ***Code of Ethics of the Simone de Beauvoir Institute, Concordia University Montréal*** (please compare: <http://artsandscience1.concordia.ca/wsdb/main6.html>). The interview participation is based on ***informed consent, freedom to discontinue, with an option to enjoy full confidentiality, and there is no deception or risk involved.*** You find a sample of the full form of consent (in English) attached to this email.

I would be delighted to receive your support and would be very grateful if you could make some time available for me in the period of January-March 2008. You can reach me by mail, email or phone any time for further questions, to receive more detailed project information, or to address any concerns you might have with regard to this project. Please note that your participation and contribution as a specialist is important to inform the advancement and increased practicability of Gender-based Analysis and/or Gender Impact Assessment.

Best regards,

Arn Sauer

Invitation Letter—French

Madame/Monsieur [...],

Je me nomme Arn Sauer, aspirant au doctorat au département d'études interdisciplinaires sur la condition féminine et les rapports sociaux entre les sexes de l'Université Humboldt, à Berlin, et chargé de recherche associé en études sur la condition féminine pour l'Institut Simone de Beauvoir de l'Université Concordia, à Montréal.

Je rédige présentement une thèse visant à comparer l'analyse comparative entre les sexes (ACS) et l'étude d'impact sur le genre (EIG), utilisées respectivement au Canada et en Europe. Le titre complet de cette étude, pour laquelle je collabore également avec Condition féminine Canada, est : « **State of the Art of Gender-Based Analysis and Gender Impact Assessment. Comparative Evaluation of Gender Mainstreaming Instruments and Machinery in Canada and Europe** » *L'objectif de cette étude comparative est de produire des données principalement qualitatives, et parfois quantitatives, visant à favoriser une approche axée sur les sexes en ce qui a trait à l'élaboration de politiques et à la planification de programmes.* En outre, dans cette étude, je remettrai en question la notion de différenciation et les hypothèses élémentaires relatives aux sexes, et j'évaluerai les stratégies actuellement utilisées de façon courante lors de l'élaboration des politiques (ACS/EIG), ce qui garantit que les facteurs relatifs aux sexes seront intégrés au processus dès le départ. En comparant et en évaluant les différentes formes de l'ACS/EIG au Canada et en Europe, j'élaborerai, par l'entremise d'études de cas, des modèles de meilleures pratiques qui appuient les responsables des politiques et des programmes. Les résultats de l'entretien seront publiés dans la version finale de la thèse et/ou dans les rédactions de recherche, ainsi que dans un rapport de recherche destiné à la section Politique de Condition féminine Canada.

J'ai choisi de communiquer avec vous, représentant de [...] occupant le poste de [...], en raison de votre spécialisation dans le domaine dont il est question dans cette étude. J'aimerais vous inviter à prendre part à un entretien individuel enregistré d'une durée approximative de 1 h 30 au cours duquel je vous poserai des questions relatives à l'application et aux résultats de l'ACS au sein de votre institution, organisation et/ou agence. Votre participation à cet entretien est entièrement volontaire et n'est pas rémunérée. L'entretien se déroulera en anglais (je vous présente d'ores et déjà toutes mes excuses pour ce désagrément) à l'endroit et à l'heure de votre choix. Je tiens à vous assurer que la recherche sera menée conformément au **Code de déontologie de l'Institut Simone de Beauvoir, Université Concordia, Montréal**, (veuillez consulter le <http://artsandscience1.concordia.ca/wsdb/main6.html>). Votre participation à cet entretien est fondée sur **le consentement éclairé, la liberté de désistement et la possibilité de bénéficier d'une totale confidentialité. Il ne s'agit pas d'un leurre et vous n'encourez aucun risque.** Vous trouverez ci-joint le formulaire de consentement complet (en anglais).

Je serais très heureux de bénéficier de votre appui et je vous serais très reconnaissant si vous acceptiez de me consacrer un peu de votre temps au cours de la période de janvier à mars 2008. Si vous avez d'autres questions, si vous désirez obtenir des renseignements plus détaillés sur le projet ou si vous souhaitez obtenir des réponses à toute inquiétude que vous pourriez avoir à propos de ce projet, vous pouvez me joindre en tout temps par courrier, courriel ou téléphone. Veuillez prendre note de l'importance de votre participation et de

votre contribution à titre de spécialiste afin de refléter la progression et l'augmentation de la possibilité de mise en œuvre de l'analyse comparative entre les sexes et/ou de l'évaluation d'impact sur le genre.

Meilleures salutations,

Arn Sauer

ANNEX III: FORM OF CONSENT

This is to state that I agree to participate in a program of research being conducted by Arn Sauer of the Department of Transdisciplinary Women and Gender Studies of Humboldt University Berlin, Sophienstr. 22a, 10178 Berlin, Germany and Research Associate of the Simone de Beauvoir Institute of Concordia University, 2170 rue Bishop, Montréal, Québec, H4B 1R6, Canada. In addition I agree that results of this research can be also used to highlight GBA case studies for the Status of Women Canada, Policy Directorate, 123 Slater Street, 10th Floor, Ottawa, Ontario, K1P 1H9, Canada.

I have been informed that the purpose of the research is as follows: data collection for German dissertation research project "State of the Art of Gender-Based Analysis and Gender Impact Assessment. Comparative Evaluation of Gender Mainstreaming Instruments and Machinery in Canada and Europe". The interview results will be used for publication of the final dissertation thesis and/or research essays as well as in a research paper for the Policy Section of the Status of Women Canada.

The research will be conducted at the place of choice of the interviewee. The data collection will be performed by face-to-face in-depth tape-recorded interviews of approx. 1 ½ hour each. Each interview partner will be assured that the research will be conducted in accordance with the CONCORDIA UNIVERSITY CODE OF ETHICS with regard to confidentiality and data security. No third party will have access to the collected data. Moreover full anonymity and the confidential use of the collected data and personal information will be granted if desired. Before evaluation and/or usage the full transcript will be sent the respondent for review. A withdrawal from the research is possible at any stage of the project without any explanation or negative consequences. The respondent can furthermore refuse to answer any question and choose to withdraw parts of the interview at any given time.

There are no foreseen risks. Participation in interviews is entirely voluntary and will not be remunerated financially.

- I understand that I am free to withdraw my consent and discontinue my participation at anytime without negative consequences.
- I understand that my participation in this study is (*please circle the appropriate word*):
- CONFIDENTIAL (i.e., the researcher will know, but will not disclose my identity)

OR

- NON-CONFIDENTIAL (i.e., my identity will be revealed in study results)
- I understand that the data from this study may be published.

I HAVE CAREFULLY STUDIED THE ABOVE AND UNDERSTAND THIS AGREEMENT.I FREELY CONSENT AND VOLUNTARILY AGREE TO PARTICIPATE IN THIS STUDY.

PLACE, DATE _____

NAME (please print) _____

SIGNATURE _____

If at any time you have questions about your rights as a research participant, please feel free to contact Vivian Namaste, Associate Professor and Chair of the Simone de Beauvoir Institute, Concordia University, at (514) 848-2424 X 2371 or by email at viviane@alcor.concordia.ca.

ANNEX IV: INTERVIEW QUESTIONNAIRE

Annex IV contains the Canadian and EU interview questionnaire. For the European GIA context, I used the same semi-guided questionnaire as for the first Canadian GBA interview sample. I only marginally adapted it, by deleting two questions on communication strategies (4.1 and 4.2), not applicable to the EU context. Additionally, I opened the question 5.1 pertaining to the role of equality players outside of the DG structure, such as the European Institute for Gender Equality (EIGE).

Table 36: Interview Questionnaire

Semi-guided_Questionnaire_Am Sauer		PhD project Humboldt University Berlin
Place of Interview		SEPERATE BLOCK JUST FOR MY DISSER ASKED AFTER INTERVIEW
Date of Interview		
Starting Time of Interview		
Ending Time of Interview		
Confidentiality status		
Name of Interviewee		
Position of Interviewee		
Organisation/Institution of Interviewee		
Time in the Position of Interviewee		
Age of Interviewee		
Sex of Interviewee		SEPERATE BLOCK JUST FOR MY DISSER ASKED AFTER INTERVIEW
Ethnicity/nationality of Interviewee		
Special Personal Remarks about Background of Interviewee		
Questions GBA	Questions GIA/SIA	Interviewers Observations/Remarks
1 Implementation		
1.1 Has gender-based analysis (GBA) or a similar tool ever been performed by your institution/organization/agency and if yes, and if yes how does it look like? If no, why not?	Has Gender Impact Assessment (GIA) or a similar tool (e.g. gender analysis as part of Social Impact Assessment) ever been performed by your unit and if yes, and if yes how does it look like? If no, why not?	
1.2 Is there a penalization for not applying GBA? If yes what does it entail? If no, why not?	Is there a penalization for not applying GIA respectively SIA? If yes what does it entail? If no, why not?	
1.3 Is there an incentive for applying GBA? If yes, how does it look like? If no, why not?	Is there an incentive for applying GIA or gender analysis as part of SIA? If yes, how does it look like? If no, why not?	
1.4 How many legislation, programs, policies and/or services have been subject to GBA in your institution/organization/agency in the last two years?	How many legislation, programs, policies and/or services have been subject to GIA or any gender analysis as part of SIA in your unit in the last two years?	
1.5 How many legislation, programs, policies and/or services GBA have been subject to GBA in your institution/organization/agency since 1995 (how many)?	How many legislation, programs, policies and/or services have been subject to GIA or gender analysis as part of SIA in your unit since 1995 (how many)?	
1.6 Please describe the key GBA initiative(s) that your institution/organization/agency has undertaken between 2003 and 2005. Include origin (response to a need or gap), timelines, objectives and goals, resources allocated, partners, target group(s) and accountability measures or indicators?	Please describe the key GIA initiative(s)/case studies that your unit has undertaken between? Please include origin (response to a need or gap), timelines, objectives and goals, resources allocated, partners, target group(s), accountability measures or indicators, feed in the policy cycle?	
1.7 What tools do you use to conduct GBA (can you please provide a written template) and do you regard them as useful for your purposes? If yes, why? If no, why not? Did you use a SWC template? If yes why? If no, why not?	What tools do you use to conduct GIA within the integrated IA framework as part of SIA (can you please provide a written template) and do you regard them as useful for your purposes? If yes, why? If no, why not? Did you use a EC template? If yes why? If no, why not?	
1.8 Did your way of conducting GBA reinforce or challenge traditional or stereotyped perceptions of women and men? Please explain how?	Did your way of conducting GIA reinforce or challenge traditional or stereotyped perceptions of women and men in your opinion? Please explain how?	
1.9 Were stakeholders consulted and how did you ensure that the consultation process was inclusive? Can you give an example?	Were stakeholders consulted and how did you ensure that the consultation process was inclusive? Can you give an example?	
1.10 How many GBA/gender trainings did you have? How many persons got trained? By whom (e.g. by SWC)? In what intervals? When was the first/last training? Do you think that training was sufficient? If not, please explain why not and what could be improved?	Did you have any gender trainings or trainings on how to use the GIA tool? How many gender trainings did you have? How many persons got trained in your unit? By whom? In what intervals? When was the first/last training? Do you think that training was sufficient? If not, please explain why not and what could be improved?	
1.11 How big is your staffing/budget (and in comparison to the overall staffing/budget of your institution/organization/agency)? Do you think you have sufficient staffing and funds, allocated to GBA and gender equality in general?	How big is your staffing/budget for GIA/SIA (and in comparison to the overall staffing/budget of your unit)? Do you think you have sufficient staffing and funds, allocated to GIA and/or gender equality in general?	
1.12 Do you have information about whether the diversity of staff delivering the legislation, policies, programs and/or services did represent the diversity of the community being served? If not, who would and how is it ensured?	n/a	
1.13 Was there support for GBA within your institution/organization/agency and how did it look like (e.g. support on management, executive staff or program/service delivery level or statements/commitments/policies)? Did you have to overcome challenges and/or obstacles and what were the lessons learned?	Was there support for GIA or gender analysis within SIA within your unit and how did it look like (e.g. support on management, executive staff etc.)? Did you have to overcome challenges and/or obstacles and what were the lessons learned?	
1.14 Do you believe that the work your institution/organization/agency is doing on GBA is leading to gender equality? If not what would need to be done to achieve that?	Do you believe that the work your unit is doing on GIA/SIA is leading to gender equality in that policy area? If not what would need to be done to achieve that?	

2. Monitoring		
2.1	Are monitoring requirements for a GBA follow-up specified in the implementation plans? If yes, how? If no, why not?	Are monitoring requirements for a GIA/SIA follow-up specified e.g. as part of evaluations? If yes, how? If no, why not?
2.2	Please describe the results of the application of GBA to the legislation, policies, programs and/or services, qualitative and/or quantitative, in terms of their effect on the target group(s)?	Please describe the results of the application of GIA/SIA to a directive, policies, programs and/or services, qualitative and/or quantitative, in terms of their effect on the target group(s)?
2.3	What do target groups, including their representative organizations, say about the issues and outcomes?	What do target groups, including their representative organizations (NGOs), say about the issues and outcomes?
2.4	Were measures taken to address any unintended outcome(s) and/or to adjust the legislation, policies, programmes and/or services if it did not meet the equality objective? If yes, how? If not, why not?	Were measures taken to address any unintended outcome(s) and/or to adjust the directive, policies, programmes and/or services if it did not meet the equality objective? If yes, how? If not, would you find it useful and where would you inject it in the policy cycle?
2.5	Were the legislation, policies, programs and/or services meant to overcome gender inequalities or eliminate barriers and was there a gender equality objective included at the outset? If not, why not and would it make sense according to you to include one? How would it look like?	Were the policies, programs and/or services meant to overcome gender inequalities or eliminate barriers and was there a gender equality objective included at the outset? If not, why not and would it make sense according to you to include one? How would it look like?
3. Data Collection / Indicators		
3.1	Did the results of research and data collection help you develop policy recommendations or policy options in terms of gender quality and GBA? If yes, how? If no, why not?	Did the results of research and data collection help you develop policy recommendations or policy options in terms of gender quality and GIA/SIA? If yes, how? If no, why not?
3.2	What research, data and/or indicators did you use to base your GBA implementation and/or assessment of outcomes on?	What research, data and/or indicators did you use to base your GIA/SIA of outcomes on?
3.3	Do you think the gender difference between men and women is affected by race, health, age, culture, religion and/or sexual orientation and how is it embodied in your way of conducting GBA? If not, why not?	Do you think the gender difference between men and women is affected by race, health, age, culture, religion, gender identity and/or sexual orientation and how is it embodied in your way of conducting GBA? If not, why not?
3.4	Do you think it is important to also include the particular experience of transgender and transsexual people? If yes, where and how would it best be taken into account in your GBA process? If not, why not?	Do you think it is important to also include intersex/transgender in your target group scoping? If yes, where and how would it best be taken into account? If not, why not?
3.5	How can data and statistical information best be collected by gender, race, health, age, culture, religion and sexual orientation, so that it is useful to you? Is there a need for additional data collection apart from gender disaggregated data and do objectives and indicators need adjustment in the light of your past experience?	How can data and statistical information best be collected by additional intersectional criteria such as race, health, age, education, culture, religion, sexual orientation etc., so that it is useful to you? Is there a need for additional data collection apart from gender disaggregated data? Do objectives and indicators need adjustment in the light of your past experience?
4. Communication		
4.1	What communication strategies did you use and was the messaging appropriate for the target groups (e.g. aboriginal people and immigrants)? Did you rely on third party resources (e.g. from the SWC) and did you find them useful? If yes, how? If no, why not?	n/a
4.2	Have gender appropriate symbols and examples been used in the materials of your communication strategies and did they respect the notion of difference too? If yes, please explain how? If not, why not?	n/a
5. Personal Opinion / Additional Remarks		
5.1	Is there anything you would like to mention or add with regards to GBA and your experience in your institution/organization/agency?	Is there anything you would like to mention or add with regards to GIA/SIA and your experience in your unit?
Thank you very much for your time, collaboration and valuable input!!!		

ANNEX V: ANALYSIS OF COMMISSION IMPACT ASSESSMENTS 2011

Randomised sample and screening of a total of 19 IAs from eight policy fields (DG), conducted in 2011 (methodology explicated in chapter 2.4.4).

*Table 37: Analysis of Commission Impact Assessments 2011
(Gender Screening)*

All Impact Assessments taken from: http://ec.europa.eu/governance/impact/ia_carried_out/cia_2011_en.htm
(last accessed 2015-08-20, analysis conducted from July to August 2012)

Analytical research questions:

- 1) Did the IA use gender analysis and/or provide of sex-disaggregated data?
- 2) Did the IAB opinion pick up on gender analysis and/or the provision (or lack thereof) of sex-disaggregated data?
- 3) Did the final IA contain gender issues and/or -sex-disaggregated indicators in its final policy recommendations?
- 4) Did the IA mention issues of non-discrimination and/or fundamental values?
- 5) Did the IAB opinion pick up on issues of non-discrimination and/or fundamental values?

DG Policy Area / Impact Assessment	IA Gender analysis and/or sex-disaggregated data: final: no	IA Gender analysis and/or sex-disaggregated data: final: yes	IAB Opinion: Gender analysis and/or sex-disaggregated data: no	IAB Opinion: Gender analysis and/or sex-disaggregated data: yes	Gender and/or sex-disaggregated indicators in final recommendations: no	Gender and/or sex-disaggregated data in final recommendations: yes	IA final: Non-discrimination and/or fundamental values included (yes = 1; No = 0)	IAB Opinion: Mentioning of discrimination and/or fundamental values (yes = 1; No = 0)
Agriculture and Rural Development								
SEC(2011) 1153 final	0	1	1	0	1	0	0	0
Climate Action								
SEC(2011) 1407 final	1	0	1	0	1	0	0	0
SEC(2011) 817 final	1	0	1	0	1	0	0	0
SEC(2011) 288 final	1	0	1	0	1	0	0	0
Communications								
SEC(2011) 1562 final	0	1	1	0	1	0	1	1
Competition								
SEC(2011) 1581 final	1	0	1	0	1	0	1	0
SEC(2011) 1524	1	0	1	0	1	0	0	0
Development and Cooperation								
SEC(2011) 1459 final	0	1	1	0	1	0	0	0
SEC(2011) 1469 final	0	1	1	0	0	1	1	0
SEC(2011) 1472 final	1	0	1	0	1	0	0	0
SEC(2011) 1478 final	0	1	1	0	1	0	1	0
SEC(2011) 1481 final	0	1	1	0	1	0	0	0
SEC(2011) 1484 final	1	0	1	0	1	0	0	0
SEC(2011) 1172 final	0	1	1	0	0	1	1	0
Development and Cooperation / Foreign Affairs and Security								
SEC(2011) 1466 final	0	1	1	0	1	0		
SEC(2011) 1475 final	1	0	1	0	1	0		
Economic and Financial Affairs								
SEC(2011) 1237 final	1	0	1	0	1	0		
Education, Culture, Multilingualism and Youth								
SEC(2011) 1433 final	1	0	1	0	1	0		
SEC(2011) 1399 final	1	0	1	0	0	1		
TOTAL	11	8	19	0	16	3	5	1

ANNEX VI: CANADIAN GENDER-BASED ANALYSIS TOOLS

Canada's federal departments have not been active producing a variety of specified GBA tool adaptations. The following list gives an overview of all GBA tools or related tools developed for or by Canadian federal bureaucracy until 2012, such as training manuals or performance measurement guides etc. It can serve as a toolbox resource, and demonstrates the variety and policy sector specific differentiation and sophistication achieved.

Biasutti, Marina: *Vibrant Communities: Gender And Poverty Project*. Ottawa: Status of Women Canada (SWC), n.d.

Peebles, Dana: *Increasing Gender Inputs into Canadian International Trade Policy Positions at the WTO*. Ottawa: Status of Women Canada (SWC), 2005.

Status of Women Canada (SWC): *Agenda for Gender Equality*. Ottawa: Status of Women Canada (SWC), 2000.

Status of Women Canada (SWC): *An Integrated Approach to Gender-based Analysis*. 2004 edition. Ottawa: Status of Women Canada (SWC), 2004.

Status of Women Canada (SWC): *Gender based analysis Guide*. Second Edition. Ottawa: Status of Women Canada (SWC), 2003.

Status of Women Canada (SWC): *Gender-based Analysis (GBA) Performance Measurement of its Application*. Ottawa: Status of Women Canada (SWC), 2003.

Status of Women Canada (SWC): *Gender-Based Analysis (GBA) Policy Training*. First Edition. Ottawa: Status of Women Canada (SWC), 2001.

Status of Women Canada (SWC): *Gender-Based Analysis (GBA) Training*. Ottawa: Status of Women Canada (SWC), 2005.

Status of Women Canada (SWC): *Gender-based Analysis +*. Ottawa: Status of Women Canada (SWC), 2012.

Status of Women Canada (SWC): *An Integrated Approach To Gender-Based Analysis*. Ottawa: Status of Women Canada (SWC), 2005.

Department for Aboriginal Affairs and Northern Development Canada (AANDC)—formerly Indian and Northern Affairs Canada (DIAND)

Indian and Northern Affairs Canada (DIAND): *Gender Equality Analysis Policy*. Ottawa: Minister of Public Works and Government Services, 1999.

Indian and Northern Affairs Canada (DIAND): *Gender-Based Analysis: Toolkit*. Gatineau: Indian and Northern Affairs Canada (DIAND), 2006.

Canadian International Development Agency (CIDA): *CIDA China Program: Gender Equality Toolkit*. Gatineau: Her Majesty the Queen in Right of Canada, 2007.

Canadian International Development Agency: *Guidelines for completing the Gender Equality Assessment Form*. Gatineau: Canadian International Development Agency (CIDA), 2005.

Boscoe, Madeline; Tudiver, Sari: *Health Knowledge for All?* Ottawa: Health Canada (HC), 2007.

Canadian Institutes of Health Research (CHIR): *Gender and Sex-Based Analysis in Health Research: A Guide for CIHR Researchers and Reviewers*. Ottawa: Canadian Institutes of Health Research (CHIR), 2006.

Health Canada (HC): *Health Canada's Gender-Based Analysis Checklist*. Ottawa: Health Canada (HC), n.d.

Health Canada (HC): Health Canada's Gender-based Analysis Policy. Ottawa: Her Majesty the Queen in Right of Canada, 2000.

Health Canada (HC): Gender-based Analysis Awareness: Asking the Right Questions. [Intranet Resource] http://www.hcintranet.gc.ca/gba-accs/index_e.html (2014-06-06).

Health Canada (HC): Gender-based Analysis Awareness: Health Canada's Gender-Based Analysis Checklist, n.d. [Intranet Resource] http://www.hcintranet.gc.ca/gba-accs/index_e.html (2014-06-06).

Health Canada (HC): Women's Health Bureau; Larocque, Marlene: Gender-Based Analysis: The Women's Health Bureau. Ottawa: Canadian Heritage, 2004.

Health Canada (HC): Women's Health Bureau: Gender-based Analysis. Ottawa: Health Canada, Women's Health Bureau, 2002.

Spitzer, Denise L.: Canadian Institutes of Health Research (CIHR): Gender and Sex-Based Analysis in Health Research. Ottawa: Canadian Institutes of Health Research (CIHR), 2007.

Human Resources Development Canada (HRDC): Women's Bureau; Strategic Policy Branch; Morris, Marika: Gender-based Analysis Backgrounder. Gatineau: Human Resources Development Canada (HRDC), 1997.

Human Resources Development Canada (HRDC): Women's Bureau; Strategic Policy Branch; Morris, Marika: Gender-based Analysis Guide. Gatineau: Human Resources Development Canada (HRDC), 1997.

Department of Foreign Affairs and International Trade (DFAIT): Gender Mainstreaming. Ottawa: Department of Foreign Affairs and International Trade (DFAIT), 2004.

Foreign Affairs and International Trade Canada (DFAIT): Steps in Gender-Based Analysis. Ottawa: Foreign Affairs and International Trade Canada (DFAIT), 2007.

Citizenship and Immigration Canada (CIC): A Strategic Framework for Gender-Based Analysis at Citizenship and Immigration Canada 2005-2010. Ottawa: Minister of Public Works and Government Services Canada, 2005.

Citizenship and Immigration Canada (CIC): Gender-Based Analysis at CIC: A Working Guide. Ottawa: Citizenship and Immigration Canada (CIC), 2008.

Treasury Board of Canada Secretariat (TBS): Tools for the preparation of Treasury Board Submissions: Gender-based Analysis. Ottawa: Treasury Board of Canada Secretariat (TBS), 2007.

Treasury Board of Canada Secretariat (TBS): Status of Women Canada (SWC): Gender-Based Analysis Training for TBS. Ottawa: Treasury Board of Canada Secretariat (TBS), 2008.

Department of Justice Canada (DJC): Policy of the Department of Justice on Gender Equality Analysis. Ottawa: Department of Justice Canada (DJC), 1997.

Department of Justice Canada: Diversity and Justice: Gender Perspectives: A Guide to Gender Equality Analysis. Ottawa: Office of the Senior Advisor on Gender Equality, 1998.

Department of Justice Canada: Gender-neutral Language. Ottawa: Department of Justice Canada (DJC), 2008.

ANNEX VII: CODING TREE

The following presentation of the coding system does not strive to be reliable, objective, or transferable¹³ due to the understanding of subject position of the researcher.¹⁴ The quantification of coding results complement the prior hermeneutic findings of qualitative text analysis. Such triangulated quantification can confirm or raise questions about the qualitative text analysis, but needs to be regarded as a relative and reflexive form of triangulation. It serves mainly an additional insight into the methodology of this study, allowing for more detailed and context-specific understanding of the subject matter. The code system was first based on the Canadian interview sample (with 23 original codes) and before incorporating the EU interviews stratified to 17 overarching codes. These categories were found applicable to also evaluate the EU interviews.¹⁵ While in Canada 1,028 individual codes were generated, the only slightly smaller sample of EU experts produced 621 individual codes.¹⁶ In quantitative terms such large a numerical difference gave reason for the hypothesis of a lesser level of GIA relevance according to the amount of answers to the standard set of questions.

13 | Herkommer 2012, 6.

14 | Haraway 1988. Since I worked on the codes as an individual and not i.e. in a research team, they are as much an expression of my research paradigms as a result of research. Or to express it in Elvira Scheich's words: "No 'better' and no 'worse' perspective can be traced. [...] Domination results on both sides in fragmentation, in a denied or ambivalent subjectivity" (Scheich 1991, 32).

15 | For a detailed description of the Candian and EU interview samples, see subsection 2.2.1.3 and Annex I.

16 | Individual codes equal excerpts of answers or statements of experts pertaining negatively, positively or neutral to the overarching code under which they are subsumed.

Table 38: Code Tree Comparison Canada and EU Interviews

Codes	Number of Individual Codes	
	Canada	EU
Accountability / Controlling	165	62
Staffing / Budget	54	28
Commitment / Political Will	38	13
Consultation / Participation	57	14
Data / Indicators	85	60
Departmental Implementation Structure	90	47
Employment Equity / Staff Diversity	20	16
Goal Gender Equality	13	1
Frameworks / Policies	17	9
Incentives / Sanctions	13	17
Intersectionality / Diversity	76	39
Challenges / Obstacles	123	183
Gender Equality Machinery	21	17
Gender Roles / Stereotypes	25	2
History of Tools / Training	34	31
Tool Design / Implementation	101	37
Training	96	45
Total	1028	621

A specificity of the EU sample is that the overarching codes, “Goal Gender Equality” and “Gender Roles / Stereotypes,” which were important to categorise what Canadian experts mentioned regarding GBA, could not be filled with a significant number of individual codes. The quantitative findings indicate that the GIA practices in the Commission have not (yet) touched on such qualitative questions, since IA mostly operates on a quantitative meta-level. The EU sample further demonstrates a concentration of codes: “Challenges / Obstacles” ranks first (with a total of 183 individual codes), “Accountability / Controlling” second (with a total of 62 individual codes), “Data / Indicators” third (with a total of 60 individual codes), “Departmental Structure” fourth (with a total of 47 individual codes) and fifth “Training” (with a total of 45 individual codes). This distribution shows in relation to other codes a clear focus of answers concerned with issues of GBA accountability and/or controlling that overlap with the thematic code representing negative experiences articulated in challenges and obstacles to GBA implementation. This

qualitative finding proofs to be complementary to the qualitative text analysis as presented in the chapters before.

The interpretation of intersectionalities in the coding system is also revealing. Text passages cannot be included in the coding system when deemed irrelevant for the research goal, but they can be marked for coding if clearly assignable to one category only, or they can be coded twice or more (multiple times) if the content pertains to more than one overarching issue. If we look at the top five codes in relation to the overall coding tree, with 46 double coded identical text segments, a dominating cluster at the intersection of “Accountability / Controlling” and “Challenges /Obstacles” becomes evident. Such a concentration at the intersection of the strictly negatively coded category in combination with (desired or existing) measures of establishing accountability in order to control for GBA implementation, reveals a distinct dissatisfaction with the status quo and problematizes current practices indicative in quantitative terms.

For Canada, departmental implementation structures (35 overlapping codes) ranked second, and training (27 overlapping codes) ranked third in terms of sustainability and control. Another third ranking (also 27 double assigned codes) was the intersection of the category “Tool Design / Implementation” with the overarching code for every statement pertaining to “Intersectionality / Diversity,” underlining a dynamic process that in the meantime has resulted in a new tool (GBA+), which already bears intersectionality in its name. Ranking fourth was the departmental structure providing the implementation framework for GBA, united under the umbrella category “Challenges / Obstacles”.

The anonymity of interviews did not allow for a quantitative comparison of individual departments other than CIDA, AADNC, Health Canada, and SWC. Quantifying the amount of text passages indicates that the code “Accountability / Controlling” is dominant. This signifies that all four departments provided the majority of information on that topic, with the SWC answering the most questions. The second most coded segment in Canadian GBA practices was again “Challenges / Obstacles,” with SWC delivering the most information on negative experiences with or opinions on GBA.

Table 39: Code Matrix Comparison of Non-confidential Canadian Departments

Codesystem	SWC	Health Canada	AANDC	CIDA
Accountability / Controlling	●	●	●	●
Staffing / Budget	●	●	●	●
Commitment / Political Will	●	●	●	●
Consultation / Participation	●	●	●	●
Data / Indicators	●	●	●	●
Departmental Structure	●	●	●	●
Employment Equity / Staff D...	●	●	●	●
Goal Gender Equality	●	●	●	●
Frameworks / Policies	●	●	●	●
Incentives / Penalisation	●	●	●	●
Intersectionality / Diversity	●	●	●	●
Challenges / Obstacles	●	●	●	●
Gender Equality Machinery	●	●	●	●
Gender Roles / Stereotypes	●	●	●	●
History of Tool / Training	●	●	●	●
Tool Design / Implementation	●	●	●	●
Training	●	●	●	●

It is remarkable that CIDA did not get coded once for “Challenges / Obstacles.” This implies that GBA practices in that department can be seen as exclusively positive or

at least neutral. Whereas we see high text activity for “Accountability / Controlling,” a result that testifies to the activity of the topic in relation to departmental structure (16 individual codes) in positive terms. This can be attributed to the positive measures under way to integrate GBA into the department’s Management Accountability Frameworks or to the introduction of the gender marker codification. CIDA was also not coded for discussions on the overall goal of gender equality, incentives or penalties for GBA implementation and the gender equality machinery, which indicates that these debates are either resolved or are not being addressed at the moment. Contextualising such findings with the detailed text analysis of the CIDA interview, they underline the impression that gender equality support structures are seen as sufficient, thus rendering CIDA the most advanced department in terms of GBA and departmental culture.

The second largest coding clusters for Health Canada was in the realm “Departmental Structure” for implementing GBA practices, but also “Accountability / Controlling” and “Challenges / Obstacles” indicates a very active implementation process. Also “Training” and a little less crucial “Tool Design / Implementation” seemed to be one of the “hot topics.” This reading supports the qualitative text analysis in the preceding chapters that showed Health Canada as having a long and fruitful GBA implementation history.

Table 40: Code Matrix Comparison in Absolute Numbers for Non-confidential Canadian Departments

Codesystem	SWC	Health Canada	AANDC	CIDA
Accountability / Controlling	26	20	15	19
Staffing / Budget	2	3	6	3
Commitment / Political Will	2	4		3
Consultation / Participation	3	7	5	5
Data / Indicators	7	6		3
Departmental Structure	8	16	7	7
Employment Equity / Staff D...	1	5	2	1
Goal Gender Equality	1	1		
Frameworks / Policies		3		4
Incentives / Penalisation		1	1	
Intersectionality / Diversity	8	6	5	5
Challenges / Obstacles	26	20	4	
Gender Equality Machinery	6	5	1	
Gender Roles / Stereotypes	2	4	2	1
History of Tool / Training	5	1	4	2
Tool Design / Implementation	9	10	18	8
Training	10	14	10	8

In contrast, the AANDC seemed to face little opposition or to its GBA implementation, but still had to deal with pressing issues first around tool design (18 individual codes) and application, and second around accountability (15 individual codes). This indicates the advanced state of GBA implementation in this department; however, surrounded by ambivalence. At the time of the interview the department was preparing for its internal GBA evaluation and there was already criticism that its GBA tools were not culturally sensitive.

Looking at which codes were absent or only rarely assigned, it was a surprising that SWC was not coded at all for “Frameworks / Policies,” despite the expired national Gender Action Plan and urgency to act on it. Also “Incentives / Penalisation” was not a topic for SWC, indicating that the national gender equality machinery is not engaged in such considerations. AANDC had no codes for “Commitment / Political Will”, the “Goal Gender Equality” and “Framework / Policies,” pointing to the fact that such discussions were not relevant at that point in time. In general

it is important to note that the absence of discussions on certain topics or codes does not necessary equal a lack of need to address these issues. It can also result from the political and/or practical impossibility or unfeasibility to address these issues, illustrating the framework of limitations inside which the quantification methodologies need to be understood. Of all participating departments, the Health Canada analysts and gender experts alone covered *all* codes in their answers. This speaks to the wealth of knowledge and breadth of GBA theorisation and practice in that department.