

PROGRAMME POLICY AND PROCEDURE MANUAL

PROGRAMME OPERATIONS
Revised February 2007

UNICEF

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Introductory Note: Changes arising from UN Reform Initiatives

The simplification and harmonization of Programme Policies and Procedures among agencies of the United Nations Development Group (UNDG) have resulted in the adoption of new terminology for some programme preparation and implementation milestones. Below, the terms for some of these milestones are listed, and should be applied to new Country Programmes:

The **Country Programme Document (CPD)** has replaced the previously termed Country Note (CN) and Country Programme Recommendation (CPR).

A **Joint Strategy Meeting (JSM)** with national partners is normally held in place of individual-agency Strategy Meetings, in countries with harmonized programme cycles.

The **Country Programme Action Plan (CPAP)** is the equivalent of the previously termed Master Plan of Operations (MPO).

Annual Work Plans (AWPs) serve the same functions as the previously termed annual Project Plans of Action (PPAs). ProMS 7.0, uses the harmonized terminology.

The agency-specific Annual Review Meetings are replaced by the joint **UNDAF Annual Review Meeting**, in countries where the latter take place. Technical level reviews of agency-specific AWPs continue to take place, and feed into the UNDAF Annual Review, as well as the Country Office Annual Report.

UN agencies have adopted and are in the process of rolling out common procedures and modalities for a Harmonised Approach to **Cash Transfers (HACT)** to programme partners. This shifts the focus away from controls towards risk management functions requiring stronger programmatic and management attention to the preparation and monitoring phases of AWPs.

While much of the programme preparation is expected to be done jointly with other UN agencies, **Joint Programmes** or **Joint Projects** are specifically those which have common annual work plans (AWPs) for all participating agencies. Disbursements by UN agencies in support of the activities described in the AWPs can be made in parallel by each agency, or funds can be pooled for disbursement by one agency, called the Managing Agent. Other Resources mobilised for Joint Programmes or Projects may be channelled through one agency, called the Administrative Agent.

ABBREVIATIONS

used in the text

ACABQ	Advisory Committee on Administrative and Budgetary Questions
AIDS	Acquired Immune Deficiency Syndrome
APC	Appointment and Placement Committee
AMP	Annual Management Plan
AWP	Annual Work Plan (previously termed PPA)
BCA	Basic Cooperation Agreement
CAG	Cash Assistance to Government
CAP	Consolidated Appeal Process
CBO	Community-based Organisation
CCA	Common Country Assessment
CCC	Core Commitments for Children in Emergencies (for UNICEF response in emergency situations)
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CERF	Central Emergency Relief Fund
CIT	Country In Transition
CMT	Country Management Team
CN	Country Note (discontinued, replaced with draft Country Programme Document)
CO	Country Office
CP	Country Programme of Cooperation or Country Programme
CPD	Country Programme Document (previously CN and Country Programme Recommendation)
CPE	Country Programme Evaluation
CPP	Country Programme Preparation (Process)
CPAP	Country Programme Action Plan (previously called MPO)
CPMP	Country Programme Management Plan
CRC	Convention on the Rights of the Child
CRC	Contract Review Committee
CSO	Civil Society Organisation
DCT	Direct Cash Transfers
DFAM	Division of Financial and Administrative Management
DHR	Division of Human Resources (UNICEF HQ)
DOC	Division of Communication (UNICEF HQ)
DPP	Division of Policy and Planning (UNICEF HQ)
ECD	Early Childhood Development
ECR	End-of-Cycle Review
EFA	Education for All
EMOPS	Office of Emergency Programmes (in UNICEF New York and Geneva)
EIA	Environmental Impact Assessment
EPF	Emergency Programme Fund
EXDIR	Executive Directive
EXCOM	Executive Committee
FACE	Funding Authorization and Certificate of Expenditure
GIS	Geographical information systems
HACT	Harmonised Approach to Cash Transfer
HQ	Headquarters
HRBA(P)	Human Rights based Approach (to Programming)
IASC	Inter-agency Steering Committee
IB	Integrated Budget
IDP	Internally Displaced Person
IFI	International Financial Institution
IMEP	Integrated Monitoring and Evaluation Plan
IMF	International Monetary Fund
IP	Implementing Partner

JCC	Joint Consultative Committee
MCP	Multi Country Programme
MD	Millennium Declaration
MDGs	Millennium Development Goals
MICS	Multiple Indicator Cluster Survey
MPO	Master Plan of Operations (superseded by CPAP for new Country Programmes)
MTSP	Medium Term Strategic Plan (currently 2002-2005, new 2006-2009)
MTR	Mid-Term Review
NGO	Non-governmental Organisation
NSE	Non-State Entity
NYHQ	New York Headquarters (UNICEF)
OCHA	The UN Office of the Coordination of Humanitarian Affairs
OECD-DAC	Organisation for Economic Cooperation and Development – Development Assistance Committee
OHCHR	Office of the High Commissioner for Human Rights
OIA	Office of Internal Audit
OLDS	Organisational Learning and Development Section (in the Division of Human Resources)
OR	Other Resources
OSEB	Office of the Secretariat of the Executive Board (of UNICEF)
PBR	Programme and Budget Review
PD	Programme Division (UNICEF HQ)
PER	Performance Evaluation Report
PFO	Programme Funding Office (UNICEF HQ)
PIMAS	Programme Information Management and Administrative Services (in Programme Division)
PPA	Project Plan of Action (superseded by Annual Work Plan, AWP)
PPO	Programme Plan of Operation
PPPM	Programme Policy and Procedure Manual (this Manual)
PPTM	Programme Process Training Manual
PQAA	Programme Quality Assessment and Assurance
PRO	Programme Instruction
ProMS	Programme Manager System
PRS(P)	Poverty Reduction Strategy (Paper)
QSA	Quality Support and Assurance
PSB	Property Survey Board
RD	Regional Director
RO	Regional Office
RR	Regular Resources
RMT	Regional Management Team
SD	Supply Division (UNICEF Copenhagen)
SITAN	Situation Assessment and Analysis
SWAp	Sector-wide approach
TOR	Terms of Reference
TRT	Technical Review Team
UN	United Nations
UNCT	United Nations Country Team
UNDAF	UN Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNHCR	United Nations High Commission for Refugees
UNPFA	United Nations Fund for Population Activities
UNS	United Nations System
USAID	United States Agency for International Development
WFFC	World Fit For Children (Declaration and Plan of Action)
WFP	World Food Programme
WHO	World Health Organisation
WSC	World Summit for Children

GLOSSARY

Activity – A set of actions through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

Agency support to implementation - a modality of cash transfers whereby direct payments to vendors or third parties are made by the Agency for obligations incurred by this Agency in support of activities agreed with Implementing Partners.

Agenda 21 - the global action plan for **sustainable development** adopted by the United Nations Conference on Environment and Development in 1992.

Annual Work Plan (AWP) – a plan that describes the specific activities to be supported by an Agency during the year in order to achieve the results specified in this Agency’s CPAP. The AWP’s include a timeframe, budget and responsibilities for completing the activities. They are signed by the Agency and by the Implementing Partner(s).

Assurance - an objective oversight and monitoring function that ensures that the milestones are completed and the resources are used in accordance with established rules and procedures.

Basic Cooperation Agreement (BCA) - The agreement UNICEF establishes with each partner country seeking UNICEF cooperation for children and women. It outlines the general principles under which UNICEF will operate in the country and constitutes the legal basis for UNICEF’s presence and programme operations.

Best practices (or “good practices”)– affordable and practical approaches that have been effective in particular situations to support development processes and have been assessed, validated and documented for possible use by other communities or countries.

Bilateral – A bilateral agreement is one between two countries. Agencies that provide assistance on a government-to-government basis are referred to as bilateral agencies or organisations, e.g. the Canadian International Development Agency (CIDA).

Cash Assistance to Government (CAG) – Direct financial support to Government. “Governments” in this context includes institutions, non-governmental organisations and agencies with which UNICEF may be co-operating in programme assistance (see [Financial Circular 15, Rev.3](#)).

Cash Transfer Procedures – UNDG ExCom Agencies agreed, in May 2005, on harmonized cash transfer modalities and procedures.

Consolidated Appeal Process (CAP) - An appeal formulated by UN agencies involved in the same relief operation.

Central Emergency Response Fund (CERF) –An emergency fund administered by **OCHA**, from which UN agencies can receive advances for financing emergency operations.

Civil society – Individuals and organisations that are not part of local, national or other levels of government. This includes community-based (CBOs) and non-governmental organisations (NGOs), trade unions, religious groups, academic institutions and other private, voluntary groups.

Civil society organisations (CSOs) – includes community-based (CBOs) and non-governmental organisations (NGOs), trade unions, religious groups, academic institutions and other private, voluntary groups.

COGNOS – Software that allows the preparation and printing of different reports from ProMS (the Programme Manager System)

Common Country Assessment (CCA) – a document prepared jointly by UN agencies to provide basic information for programming assistance to countries. The CCA aims to achieve a deeper knowledge of key development challenges, based on a common assessment, analysis and understanding of the development situation of the country.

Community Based Organisations (CBOs) – small and often informal NGOs serving communities

Country Management Team (CMT) - The primary advisory body to the Representative for most management issues, consisting of senior staff from Programme and Operations sections, and staff representatives.

Country Note (CN) – see Country Programme Document

Country Programme Document (CPD) – previously referred to as Country Note and Country Programme Recommendation. A description of the outcomes, outputs and strategies to be adopted in a proposed Country Programme of cooperation. Effective 2003, the CPD is submitted to the UNICEF Executive Board first as a draft for comments, and then for final approval, together with a Summary Results Matrix.

Complex emergency - a humanitarian crisis in a country, region or society where there is a significant or total breakdown of authority resulting from internal or external conflict and which requires an international response that extends beyond the mandate or capacity of any single agency. In complex emergencies, children and women may also need legal and physical protection to prevent harm and ensure their access to humanitarian assistance

Core Commitments for Children in Emergencies (CCCs) – The CCCs are the minimum set of commitments that constitute UNICEF’s initial response to protection and care of children and women in unstable and emergency situations.

Country Programme Action Plan (CPAP) – The CPAP constitutes a formal agreement between the government and UNICEF, and provides the framework of each partner’s responsibility during the Country Programme period to achieve the jointly defined goals and planned results for children and women.

Country Programme Management Plan (CPMP) –During the preparation of a new country programme, the CPMP is drawn up to describe and help budget for the required human and financial resources needed by the UNICEF Country Office in support of the new programme.

Country Programme of Cooperation (CP) – The overall term for UNICEF cooperation in a country – directed to a variety of services and activities to benefit and support the human rights of children and women.

Country Programme Recommendation (CPR) – The CPR used to be submitted to the UNICEF Executive Board, seeking final approval for the Country Programme. Effective 2003, the CPR is no longer part of the Country Programme preparation process. Its successor is, in effect, the revised version of the CPD.

Direct Agency Implementation – one of the four cash transfer modalities under the harmonized approach. Under this modality, the Agency makes obligations and incurs expenditure in support of activities agreed in AWP.

Direct Cash Transfer (DCT) – one of the four cash transfer modalities under the harmonized approach. Under this modality, cash is transferred directly to the Implementing Partner prior to the start of activities, for obligations and expenditures to be made by this partner in support of the activities agreed in an AWP. Request for funding and reporting on activities expenditure under this modality is covered by FACE.

Direct Payment – one of the four cash transfer modalities under the harmonized approach. Under this modality payments are made directly to vendors and other third parties, for obligations incurred by the Implementing Partner on the basis of requests signed by the designated official of the Implementing Partner in support of activities agreed in an AWP. Request for funding and reporting on activities expenditure under this modality is covered by FACE.

Disaggregated data - statistics that separate out information or indicators (e.g., by gender, ethnic group, age group,

geographic area).

Document Repository – a section of the UNICEF intranet that contains full text versions of programme-related official documents and allows access to a wide variety of information and resources.

Emergency - a situation which threatens the lives and well-being of large numbers of a population and in which extraordinary action is required to ensure their survival, care and protection. Emergencies may be created by natural or technological disasters, epidemics or conflicts. Also see Complex Emergency

Emergency Programme Fund (EPF) –A revolving fund held by the UNICEF Executive Director to support a rapid response in sudden emergencies

Executive Directive (EXD) – Directives, instructions or important communications from the Office of the Executive Director that are issued with an EXD number.

First call for children – A principle that the rights and basic needs of children should be given priority in the allocation of resources, in bad times as well as good times, at national and international as well as at local levels.

Funding Authorization and Certificate of Expenditures (FACE) – a form designed for the use of Implementing Partners and UNDG ExCom Agencies in order (1) to request the disbursement of funds; (2) to authorize an Implementing Partner to incur expenditures up to a certain amount; (3) to report on expenditures incurred in the reporting period; (4) to certify the accuracy of the data and information provided by the Implementing Partner; and (5) for the Agency to approve the amount to be disbursed.

Harmonized Approach to Cash Transfers to Implementing Partners (HACT) – common operational framework for transferring cash to government and non-government Implementing Partners. It aims to: Reduce transaction costs pertaining to UNDG ExCom Agencies' cooperation through the simplification and harmonization of rules and procedures; Improve implementing partners' capacity to effectively manage resources; Help manage risks related to the management of funds and increase overall effectiveness.

Inter-agency Steering Committee (IASC) –A committee of UN agencies, the Red Cross Movement and NGOs typically involved in emergency operations, to agree on common policies and procedures

Indicator - An indicator is a measure, which is used to detect change in a situation, or the progress in an activity, or the results (process, output, outcome, impact) of a project or programme.

Input - Human, financial and material, technological or information resource mobilised for an activity

Impact - The longer-term intended or unintended result (technical, economic, socio-cultural, institutional, environmental or other) of a programme, corresponding to the programme goal. The impact describes the changes at the level of the right-holders (children and women).

Joint Programmes or Joint Projects of two or more UN agencies are characterized by common annual work plans (AWPs). Disbursements by UN agencies in support of the activities described in the AWPs can be made in parallel by each agency, or funds can be pooled for disbursement by one agency, called the Managing Agent.

Joint Programming denotes very close collaboration during programme preparation and implementation support. In countries with harmonized programme cycles, joint programming will usually start with the Common Country Assessment, continues with preparation of the UNDAF and the Joint Strategy Meeting. Joint programming may, or may not, result in the identification of Joint Programmes or Joint Projects.

Key Result is an important outcome, produced in at least significant part from UNICEF cooperation, which contributes to the sustained realization of children's and women's rights in the country.

Legislative Reform entails reviewing and reforming not only laws but those elements necessary to effectively implement and enforce them—legal and other governmental institutions, social and economic policies, budget allocations, and the process of reform itself.

Macro assessment – a review of the existing assessments of a country's public financial management (PFM) system undertaken by multilateral or bilateral development partners in the past five years. This review covers areas of the national budget development and execution process; functioning of the public sector accounting and internal control mechanisms; audit and oversight; and financial recording systems and staff qualifications.

Medium Term Strategic Plan (MTSP) –The MTSP outlines the Focus Areas for UNICEF. The next MTSP will go into effect for the period 2006-2009.

Micro assessment – an assessment of financial management capacity of a particular Implementing Partner and of the risks related to cash transfers to it. Done once every programme cycle or whenever a significant change in the Implementing Partner's organizational management is noticed, each micro assessment concludes with a statement of the overall risk related to cash transfers to a particular Implementing Partner.

Millennium Development Goals (MDGs) – The set of 8 goals and 18 targets, initially endorsed and further developed subsequent to the Millennium Summit.

Multilateral – A multilateral agreement is one among several parties. Agencies or organisations that involve more than two countries, e.g. United Nations agencies like UNICEF, are often referred to as multilateral agencies.

Other Resources (OR) – Earmarked contribution for programmes that is supplementary to the contribution for **RR** and is made for a specific purpose such as a particular programme or project or an emergency response.

Output - The specific products — goods, services or other — that are the result of one or more activities.

Outcome - The results generated by a programme, typically related to institutional change, quality or coverage of a service, or behavioural change. The achievement of outcomes normally depends on the contributions of several partners.

Procurement Services - A UNICEF facility, formerly “Reimbursable Procurement”. Procurement Services is a key component of the Supply function of UNICEF, allowing governments, NGOs and other international agencies to procure supplies and services through UNICEF's supply delivery system. The UNICEF **Procurement Services Centre** is located in Copenhagen

Programmatic assurance – assurance of the implementation of activities described in the Annual Work Plan. Assurance is maintained following standards and guidance established by each Agency and includes, among others, receipt of implementation reports from Implementing Partners, site visits by Agency staff, annual reviews, and evaluations.

Programme Instruction (PRO) – Important communication from the Programme Group (Programme Division, the Division of Policy and Planning, Evaluation Office or EMOPS) at Headquarters, informing field offices about new or revised programme guidelines, corporate requirements or initiatives. All PROs are numbered.

Programme Manager System (ProMS) – a computer information system that integrates and streamlines UNICEF programming and work planning, including budgets and financial data.

Poverty Reduction Strategy (PRS) – A national poverty reduction strategy, often developed with the assistance of the World Bank.

Regional Management Team (RMT) – Composed of the Regional Director and Representatives from all area and country offices in that region, plus staff representatives.

Regional Office (RO) - UNICEF has Regional Offices supporting Area or Country Offices (COs) within the following geographic regions: Eastern and Southern Africa (ESARO); West and Central Africa (WCARO); the Americas and the Caribbean (TACRO); East Asia and the Pacific (EAPRO); South Asia (ROSA); the Middle East and North Africa (MENARO); and Central and Eastern Europe, the Commonwealth of Independent States and the Baltic States (CEE/CIS/B). In addition, UNICEF has one RO in Geneva serving as focal point for relations with National Committees (GRO).

Regular Resources (RR) - RR include income from voluntary annual contributions from governments, un-earmarked funds contributed by National Committees and the public, net income from greeting card sales and other miscellaneous income. Formerly called general resources (GR)

Reimbursement – one of the four cash transfer modalities under the harmonized approach. Under this modality, cash is transferred to Implementing Partners to cover obligations made and expenditures incurred by them in support of activities agreed in an AWP. Request for funding and reporting on activities expenditure under this modality is covered by FACE.

Result – Results can be obtained at various levels of a country programme. Typically, the result of an activity or project is referred to as output, the result of a programme is referred to as outcome, and the resulting change on the situation of the intended rights-holders is referred to as impact. Results at different levels form a results chain, which describes the necessary sequence to achieve the desired objectives (input => output => outcome => impact).

Result Chain – see Result.

Results based programme planning – Demonstrates the causal relationship between the intended results at different levels (outputs, outcomes and impacts). It requires that the sum of planned interventions is sufficient to achieve the planned results, and helps to map UNICEF's contribution within the programme of cooperation and the UNDAF.

Results based programme management – Results based programme management rests on well defined accountability for results, and requires self-assessment and ongoing performance monitoring.

Results framework - A results framework is an “organigram” of results. It is an *approach* to programme planning. It illustrates the necessary lower-level results that lead to the achievement of a strategic, higher-level result.

Results Matrix –A Summary Results Matrix should be attached to the revised Country Programme Document and included in the Country Programme Action Plan. It indicates the key strategic improvements to the country situation which will be attributable to the UNICEF-assisted CP. These expected key results are linked to the priorities of the MTSP and the expected outcomes of the UNDAF, the WFFC Plan of Action and the Millennium Agenda.

Scheduled Audit – an audit aimed to assess the existence and functioning of an Implementing Partner's internal controls for the receipt, recording, and disbursement of cash and the fairness of a sample of expenditures reported in all *Funding Authorizations and Certificates of Expenditures* (FACE) issued by this Implementing Partner to Agencies during the period under audit. For each Implementing Partner subject to scheduled audits, the frequency and total number of audits conducted during the CPAP period is determined by the country representatives of Agencies based on the initial financial capacity assessment, any on-site reviews of the Implementing Partner's financial records, programmatic assurance activities, and any Agency-specific requirements.

Special Audit – an audit undertaken by an audit firm to review a possible or confirmed significant weakness in the Implementing Partner's internal controls over cash transfers. It is implemented as soon as practical after the weakness is identified. Unless warranted by specific circumstances, these audits will follow the scope and procedures established for the scheduled audits.

Spot-check – a review of a limited scope undertaken by the Agencies, which should usually include a review of a sample of the receipt of funds and expenditures incurred by the Implementing Partner. This is complemented by programmatic assurance activities.

Stakeholders – People or groups that have an interest in a programme or activity and/or are likely to be affected by it.

Strategy – A broad outline considering and choosing between possible choices for UNICEF assistance focusing on the most critical needs, particular opportunities or UNICEF’s unique advantages, and discarding less promising options. A strategy provides an overview both of the “mix and balance” of the interventions to be supported and actions to be taken, and of their inter-linkages and sequencing over time.

Supreme Audit Institution (SAI) – The supreme national agency responsible for auditing government revenue and spending. Its primary purpose is to oversee the management of public funds and the quality and credibility of the government’s financial reporting. SAIs supply the information needed by the legislature and the public to hold governments accountable for stewardship of public funds and assets. As such, they can act to limit opportunities for financial malpractice and the abuse of power.

20/20 initiative – The 20/20 Initiative for Universal Access to Basic Social Services was recommended at the Copenhagen World Summit for Social Development. It calls for the allocation of at least 20 per cent of the budget in developing countries and 20 per cent of official development assistance to *basic social services*. It is supportive of Article IV of the CRC, which emphasises the need for the maximum possible allocation of available public resources to fulfil children’s rights. Assessment of national budget and aid allocations is an essential component of the Initiative.

UNDAF – The United Nations Development Assistance Framework for operational activities of the UN system at the country level helps UN agencies, when preparing the Country Programmes, to achieve consensus on priority issues for development cooperation and the broad distribution of roles and responsibilities to support national efforts to achieve the MDGs and other commitments arising from conventions and international conferences.

UNDAF Results Matrix - A matrix attached to the UNDAF, describing among others the expected UNDAF outcomes, and the outcomes and outputs of individual agencies’ country programmes of cooperation.

United Nations Country Team (UNCT) – The management team consisting of heads of UN agencies represented in the country.

Chapter 1. INTRODUCTION

1. The Programme Policy and Procedure Manual (PPPM) was first issued in January 2000, replacing the former “Book D”. It reflected UNICEF’s organisational transition to an approach to programming cooperation for children and women based explicitly on human rights principles. Subsequent annual updates since 2002 have emphasised UNICEF’s contribution to the millennium agenda as outlined in the Focus Areas of the UNICEF Medium Term Strategic Plan ([MTSP](#)); strengthened interagency coordination through the CCA/UNDAF process; stronger and more effective partnerships for results; mainstreamed emergency preparedness and response as a part of UNICEF’s regular work; highlighted good contribution management and donor reporting; strengthened the emphasis on results based programme planning and management; and incorporated changes to the programme preparation process resulting from the ongoing simplification and harmonisation of UN policies and procedures, including guidance on joint programming, joint programmes and the Harmonised Approach to Cash Transfers (HACT). These updates also added additional guidance for the promotion of participation of children and young people, on gender mainstreaming and piloting, and UNICEF’s role in generating knowledge and good practices.

2. This fifth update of the PPPM reflects updated guidance in several core programming areas, including harmonization and simplification in the common programming process with a focus on UN-supported analysis and strategic planning that aims to strengthen the national planning process and the implications of harmonized procedures for transfer of cash to implementing partners and updated guidance on joint programmes. It more clearly details results-based Annual Work Plans (AWP) and tools (including ProMS) and mechanisms for budgeting, coding, managing and monitoring achievement of results. It incorporates new guidance in operating in a post-crisis environment and setting up CCC performance monitoring and benchmarking as well as considerations when programming in situation of instability and crisis. It emphasises, more than before, UNICEF’s role in generating knowledge and experience on programme strategies, and also includes new guidance on reaching marginalized children and their families. All recent relevant Executive Directives and Programme Directives have been reflected in this update.

Purpose of the Programme Policy and Procedure Manual

3. The Programme Policy and Procedure Manual provides up-to-date guidance on UNICEF programme operations for use by Country Offices (COs), Regional Offices (ROs) and with other UN and external partners and counterparts.

4. The overall purpose of the UNICEF Programme Policy and Procedure Manual is to:

- ensure that UNICEF programme cooperation is undertaken in a manner which will produce the best possible results, and which makes optimal use of resources to contribute to the realization of the rights of children and women;
- ensure that UNICEF programme cooperation is undertaken in a manner consistent with the standards set by the Executive Board and UNICEF management.

5. In particular, it is to:

- provide the core reference for the overall UNICEF programme guidance system;

- provide guidance to COs on the process of preparing Country Programmes of Cooperation (CPs) and procedures to be followed in implementing and managing them;
- confirm the responsibilities and accountabilities within the organisation for different aspects of Programme Operations;
- provide a one-stop reference, linking users to the latest UNICEF Executive Board decisions, Executive Directives (EXDIRs) and Programme Directives (PROs), as well as, to UNDG common guidance.

How to use the Manual

6. This Manual should be used in conjunction with Executive Board decisions and latest approved policy papers and programme guidance documents. Particular attention should be paid to the [Millennium Declaration](#) and its Development Goals, and to UNICEF's Medium Term Strategic Plan ([MTSP](#)), detailing the organisational Focus Areas and supporting strategies for the period 2006-2009.

7. This Manual is available [online](#) on the UNICEF Intranet. In-between regular revisions, PROs and EXDIRs provide additional or revised procedures or guidelines. These are also available in the Document Repository. The most recent guidelines on the [CCA and UNDAF](#) are key references, which complement this Manual. These guidelines, including inter-agency guidance on [JSMs](#), [CPAPs](#), and [AWPs](#) and [UNDAF Annual Reviews](#) are available on the [UNDG website](#). Approved supporting strategies relating to the organisational Focus Areas of UNICEF's [MTSP](#) are now available. These MTSP supporting strategies include:

- [UNICEF Joint Health and Nutrition Strategy 2006 – 2015](#)
- [GIVS Global Immunization Vision and Strategy 2006 – 2015](#)
- [Programming for ECD: A Holistic Approach to Early Years December, 2005](#)
- [UNICEF Water, Sanitation and Hygiene Strategy for 2006 - 2015](#)
- Education Strategy (forth coming)

The updated Core Commitments for Children (CCCs), referenced in this Manual, are available in [CF/EXD/2004-15](#). The *Technical Notes: Considerations for Programming in Situations of Instability and Crisis*, issued in April 2001, expand the guidance provided in this Manual. Attention is also drawn to [CF/EXD/2005-08](#), describing UNICEF's approach to, and operational procedures for collaboration with NGOs and CBOs. Financial Circulars on Cash Transfers to Implementing Partners ([FC. Circular 15, Rev.3](#)), Financial Controls ([FC. 34](#)), and Obligations and Expenditure ([FC. 38](#)) are further important references that all staff should be familiar with.

8. The online use of this Manual is recommended. The underlined blue text provides hyperlinks to all other relevant documents on the UNICEF Intranet and UN websites.

9. Also available on the Intranet is a [Short Guide to UNICEF Programme Policy and Procedure](#), in English, French, Spanish and Portuguese. The Short Guide is a summary of this Manual, which many staff have found helpful. *The Short Guide is however not a substitute for reading this Programme Policy and Procedure Manual.*

Training and Learning Resources

10. This Manual is supported by the latest edition of the Programme Process Training Manual (PPTM), which is available on the [Learning Web](#). The Training Manual focuses on *key* programming skills, and does not contain all the details of programme preparation and implementation. It is therefore a complement to but not a substitute for this PPPM.

11. Also available from DHR-OLDS is an [inter-active training CD-ROM](#) on the Programme Process. All professional staff should take this self-learning short course. Taking the course is strongly encouraged. Upon completion of the course, staff receive a certificate, which is also registered in the Division of Human Resources.

Organisation of the Manual

12. Following this introduction, Chapter 2 discusses the overall programme operations framework within which UNICEF cooperation is developed and implemented, i.e. the human rights-based approach to programming, and the country programme approach. The relevant provisions of the Basic Cooperation Agreement (BCA), which constitutes the legal basis for UNICEF's presence and operations in a country, are outlined.

13. Chapters 3 to 5 elaborate the key phases of the programming cycle: programme preparation, implementation, and evaluation. These chapters integrate the human rights-based approach to programming, results-based programme planning and management, and changes resulting from UN reform.

14. Specifically, Chapter 3 includes all actions resulting from the decision to submit a Country Programme Document for approval by the Executive Board, from development of a work plan to completion of documentation for signature with the cooperating partners.

15. Chapter 4 covers the management of country programmes, with emphasis on annual planning and review mechanisms. It also provides an overview of how the Programme Manager System (ProMS) helps to manage budget planning, input procurement and disbursements; how it supports monitoring and reporting; and how accountabilities are assigned to ensure the best use of UNICEF resources.

16. Standards and responsibilities for monitoring and evaluation are discussed in Chapter 5. These are also reflected in chapters 2 and 3, as evaluative activities accompany all phases of the programme cycle.

17. Finally, Chapter 6 (the “Toolbox”) provides various tools for use at different stages of programme operations. These include tools to assist in emergency preparation or response (vulnerability/capacity analysis, emergency preparedness plans, fundraising in emergencies); the *mandatory* Environmental Impact Assessment (EIA) of projects; the content of the Country Programme Action Plan (CPAP); the IMEP; a self-assessment tool for programme management; an introduction to the Procurement Services Facility; tools for the review of Gender Mainstreaming in programmes; and guidance on promoting participation through programming, considerations for pilot projects, and strategies for reaching marginalized children and their families. New tools introduced in 2006 include guidance for conducting a country programme

evaluation, implementing legislative reform, a checklist for preparing AWP, and guidance on documenting innovations, lessons and good practices.

18. Checklists for Programme Quality Assessment and Assurance (PQAA) are provided at the end of Chapters 2-5. They contain a minimum set of indicators, which are applicable to all situations. The questions, which are not exhaustive, are intended to guide Country and Regional Offices to assess whether the prescribed or recommended procedures are being applied, and whether minimum standards are being met. The use of these checklists is strongly recommended as part of Country Office self-assessment and as an element in Regional Office oversight of and support to country programming.

Chapter 2. OPERATIONS FRAMEWORK

1. This chapter describes the key elements and approaches that determine how UNICEF plans its assistance to country programmes of cooperation to support the realisation of the rights of children and women.

Section 1. Human Rights-Based Approach to Programming

2. This section describes how human rights, and more specifically, the promotion and protection of children's and women's rights, provide the conceptual and operational framework for the development of a UNICEF Country Programme of Cooperation (CP). A training course, which is also suitable for self-study on Human Rights, is available on the Intranet ([Core Course: Human Rights Principles for Programming](#)). Additionally, a UN Action 2 HRBA learning resource package is available for interagency training.

3. UN General Assembly resolutions, including the 2004 Triennial Comprehensive Policy Review ([GA Resolution A/59/488/Add.1](#)), UNICEF Executive Board resolutions and decisions and strategic and policy documents set an overall basis for the work of UNICEF, including in emergency situations. This section is based particularly on the Guidelines for the Human Rights-Based Programming Approach ([CF/EXD/1998-004](#)), the UN Common Understanding on this approach among UN agencies developed at the 2003 meeting at Stamford, and the outcomes of [UNICEF global consultations](#), and treats these as an integrated whole. [Case studies and other documentation](#) on the human rights-based approach to programming can be found on the Intranet.

Introduction

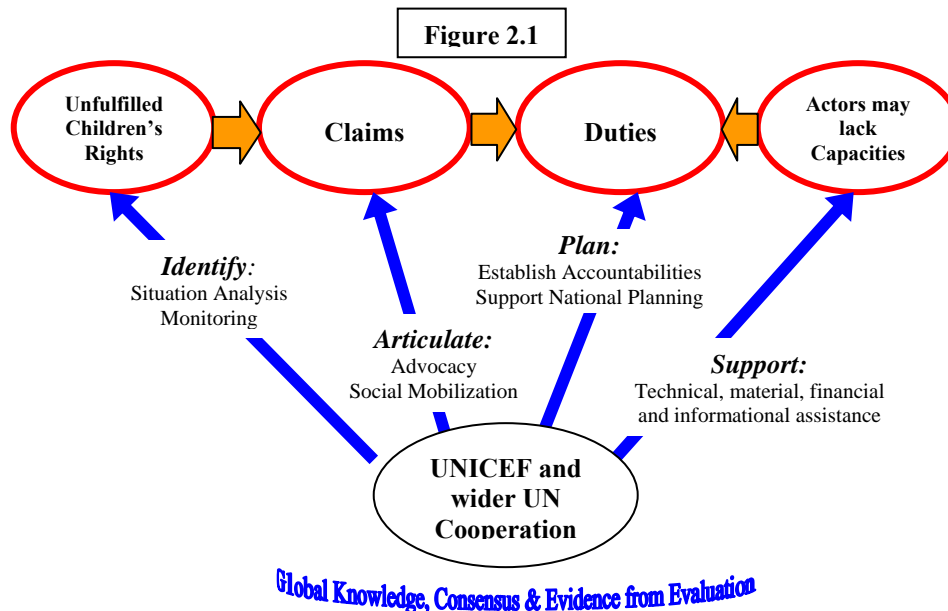
4. In his report: [Strengthening of the United Nations: An Agenda for Change](#) (2002), the UN Secretary General reiterated that the promotion and protection of human rights constitutes "a bedrock requirement for the realization of the Charter's vision of a just and peaceful world". The Secretary General's reform agenda in the area of Human Rights ("[Action 2](#)") therefore puts a strong emphasis on UN support to the efforts of Member States in establishing and strengthening national human rights promotion and protection systems. UNICEF, as part of the United Nations system and guided by the United Nations Charter, has a responsibility and mission to help State parties to human rights treaty bodies to meet their obligations towards the realisation of the *human rights of those who live within their jurisdiction*. As the UNICEF [Mission Statement](#) indicates, the Convention on the Rights of the Child ([CRC](#)) is the organisation's guiding frame of reference, and provides a legal foundation for the ethical and moral principles that guide the work of UNICEF for children. The other keystone of the organisation's mandate and mission is the Convention on the Elimination of All Forms of Discrimination Against Women ([CEDAW](#)). Both the CRC and the CEDAW comprehensively address the social, economic, cultural, civil and political rights of children and women. The scope of UNICEF involvement therefore includes areas of concern with any or all of these categories of rights.

5. In keeping with the [outcome document](#) of the UN consultation at Stamford (the UN Common Understanding), a human rights based approach to programming means for UNICEF that:

- The aim of all Country Programmes of Cooperation, including in humanitarian situations, is to further the realisation of the rights of all children and women;
- Human rights and child rights principles guide programming in all sectors at all phases of the programme process; and
- Programmes of Cooperation focus on developing the capacities of duty-bearers, at all levels, to meet their obligations to respect, protect and fulfil rights; as well as on developing the capacities of rights-holders to claim their rights.

6. UNICEF policies and programmes of cooperation over several decades have been largely consistent with the CRC and CEDAW as well as with the UN Charter. Time-bound goals and targets including the [MDGs](#) as agreed at the 2000 Millennium Summit continue to be used as measures of human progress, and to motivate action. They are also elements of a broader human rights framework. [A World Fit For Children](#), the outcome document of the UN Special Session on Children held in 2002, contains an even broader set of goals and targets relating specifically to children, established with a human rights perspective.

7. Children, as rights-holders, have claims against those with obligations to ensure the fulfilment of those rights. Children whose **rights** remain unmet have **claims** against those with an obligation to act. Parents, communities, CSOs, governments, and others have resulting **duties**. At the same time, parents and other duty bearers also may have unfulfilled rights, for example due to poverty, and have claims on resources themselves. Vulnerability and exclusion are manifestations and causes of the **lack of capacities** within families, communities, government, and others to fulfil children's rights (ref. figure 2.1). The human rights of children and women are particularly threatened in situations of instability and crisis.



8. UNICEF cooperation at country, regional and global levels:

- a) assists and builds the capacities of governments and civil society to continuously assess and analyse the *situation of children and women* in relation to the Human Rights instruments of the UN system, especially the CRC and CEDAW (particularly in relation to UNICEF's organizational priorities); to identify the most marginalized whose rights remain unfulfilled; and to understand the immediate, underlying and basic causes for this situation. UNICEF facilitates deeper analysis through sharing of global experience, evaluations and lessons learned and support to a research agenda;
- b) helps to articulate the *claims* of poor, marginalized children and women, and to draw attention to their rights through advocacy with decision makers or through social mobilisation. UNICEF contributes through its inherent multilateral character, reflecting global consensus and authoritative statements on children's rights; and helps to strengthen accountability mechanisms and local and national capacities to demand the realisation of children's and women's rights;
- c) helps to identify the corresponding *duties*, accountabilities and necessary actions for children's and women's rights, and builds capacities to codify claims and duties in local and national policies, legislation, plans and programmes related to children's and women's rights. UNICEF also directly supports local or national planning, budget analysis, policy development and legal reform to ensure that national and sub-national plans, policies and budgets adequately reflect the necessary attention to the realization of children's and women's rights, especially for the priority areas of the UNICEF MTSP and the Millennium Agenda;
- d) helps countries to obtain or mobilise the necessary financial, human, material or informational *resources* to ensure that policies and plans related to children's and women's rights are implemented and legislation is enforced. UNICEF also provides direct technical, material or financial assistance to strengthen the capacities of governments, CSOs, communities and families to take action in support of those policies, plans and legislation.

UNICEF assistance is primarily for strengthening national and local capacities for effective action for children's and women's rights, where programmes are requested by and jointly designed and monitored with national partners.

9. The effective pursuit of children and women's rights requires the development of a country-specific strategy and the application of good programming skills, including:

- the ability to assess the situation of children, women and their families, to analyse the causes for the lack of fulfilment of rights, to distinguish between different levels of causalities and to understand their relationship to each other;
- the ability to identify the most urgent needs of children in a specific situation;
- the ability to assess, with national partners, available capacities to respond to the problems, and to understand how the human, financial and institutional resources and capacities in a country can contribute to solving them;
- the ability to assess the context of international and national actors, their respective contributions to the identified problems, and where UNICEF's limited resources can be strategically applied to achieve the best possible and most sustained results in support of

national priorities for children, particularly within the Focus Areas of the MTSP and the Millennium Agenda;

- the ability to develop a good emergency preparedness plan based on an understanding of specific vulnerabilities of and threats to children and women, and to be able to organise an effective rapid response based on UNICEF’s Core Commitments for Children ([CCCs](#)).

10. Within a human rights based approach, UNICEF staff must be able to:

- understand the synergy between the development of public policy, the legislative process, and the national development choices that affect children, women and families directly or indirectly;
- analyse capacities, support and mobilise those state institutions, authorities or other duty bearers that have obligations to respect, protect or fulfil the rights of children and women;
- recognise economic processes, natural phenomena, social forces, beliefs and practices that put children’s and women’s rights at risk, and that may coalesce into or precipitate a crisis or may cause widespread violations; and
- work effectively with central and local governments, and civil society, private sector and other partners based on mutual respect and shared values, and fully use the opportunities for promoting and securing human rights that such partnerships present;
- identify and use good programming strategies. However, the use of good programming strategies does not in itself constitute a human rights based approach and requires additional elements:

Necessary, specific, and unique elements of a HRBA	Good programming practices that are also essential under a HRBA
<ul style="list-style-type: none"> • Assessment and analysis in order to identify the human rights claims of rights-holders and the corresponding human rights obligations of duty-bearers as well as the immediate, underlying, and structural causes of the non-realization of rights. • Programmes assess the capacity of rights-holders to claim their rights and of duty-bearers to fulfil their obligations. They then develop strategies to build these capacities. • Programmes monitor and evaluate both outcomes and processes guided by human rights standards and principles. • Programming is informed by the recommendations of international human rights bodies and mechanisms. 	<ul style="list-style-type: none"> • People are recognized as key actors in their own development, rather than passive recipients of commodities and services. • Participation is both a means and a goal. • Strategies are empowering, not disempowering. • Both outcomes and processes are monitored and evaluated. • Analysis includes all stakeholders. • Programmes focus on marginalized, disadvantaged, and excluded groups (see Chapter 6, Section 20). • The development process is locally owned. • Programmes support accountability to all stakeholders. • Programmes aim to reduce disparity. • Top-down <u>and</u> bottom-up approaches are used in synergy. • Situation analysis is used to identify immediate, underlying, and basic causes of development problems • Measurable goals and targets are important in programming. • Strategic partnerships are developed and sustained.

From : [The Human Rights Based Approach to Development Cooperation: Towards a Common Understanding Among the UN Agencies](#)- Stamford, CT 2003

Human Rights and Child Rights Principles

11. In programming, UNICEF must be mindful of the articles of the [CRC](#) and [CEDAW](#) and of the guiding principles of these and other human rights treaties.

12. Among these are the principles of:

- universality
- indivisibility and interdependence of rights
- accountability
- participation.

13. The CRC is guided by four foundation principles that underpin all of its other articles, i.e.:

- non-discrimination (Article 2)
- the best interests of the child (Article 3)
- the right to life, survival and development (Article 6)
- respect for the views of the child (Article 12).

14. The principle of *universality* is the foundation of all human rights treaties. Article 1 of the [Universal Declaration of Human Rights](#) states: "All human beings are born free and equal in dignity and rights." The related principle of *non-discrimination* (on the basis of race, colour, gender, language, opinion, origin, disability, birth or any other characteristic) is expressed in Article 2 of the CRC. Issues of exclusion, inequality and injustice are therefore central concerns in the dialogue with national partners, and in the development of programmes of cooperation. The disaggregation of indicators –for instance by age, sex, ethnic group, household composition, geographic area – permits the assessment of discrimination and inequality and is therefore essential for making rights-sensitive programming decisions. While the well-being of all children is important, UNICEF gives priority to the most disadvantaged children and the countries in greatest need (see [UNICEF Mission Statement](#)). Guidance on reaching marginalized children and families is available in [Chapter 6, Section 20](#). Positive measures are vital to ensure that public policies benefit all children, and that all children have access to quality basic services and other opportunities, based on, among other things, distributive justice.

15. Another important principle is the *indivisibility and interdependence of rights*. The fulfilment of one right cannot be achieved by compromising or violating another right. In many situations one right can only be adequately fulfilled if progress is being made in ensuring another right. For example, a child's right to basic education can only be realised if his or her survival is not constantly threatened. All rights have equal status, and there are no rights that are more important than others. This does not, however, imply that for every article of a Convention there must be a programme- or AWP-level response. The principle of indivisibility does not prevent UNICEF from deciding with UN and national partners on specific strategies and priority interventions to address a limited and well-focused set of priority problems, based on a combination of situation assessment and analysis and available resources. This does not imply that the other rights are not equally important – it merely indicates that the country programme of cooperation cannot address all issues at the same time. What the CP can seek to do, however, is to mobilise partners in society at large – with assistance from international agencies where necessary – to act and allocate resources in favour of children on a comprehensive basis.

16. The *Best Interests of the Child* (Article 3 of the CRC) should be a primary consideration in all actions regarding children. This principle applies to all actions concerning children, whether by public or private social welfare institutions, courts of law, administrative or legislative bodies or civil society. It stresses that both government and civil society have clear obligations to children and their best interests.

17. The principle of the "best interests of the child":

- supports a child-centred approach. It obliges those in authority to review legislation, regulations, policies and programmes so that they have a positive effect on promoting or fulfilling children's rights;
- serving as a mediating principle, helps to resolve confusion between different rights; and
- provides a basis for evaluating the laws, their enforcement *and* practices of States Parties with regard to the services and protection provided to children, including during situations of instability and crisis.

18. The right of children to life, survival and development (Article 6 of the CRC) is fundamental. The right to life implies protection from the life of a child being taken (including in situations of conflict and other emergencies); while the right to survival implies that countries have to take all measures to ensure the child does not die as a result of disease, malnutrition, or other causes. There is a close link between the CRC and the goals of the 2002 UN Special Session on Children as adopted in the [WFFC Declaration and Plan of Action](#), as well as with almost all of the Millennium Development Goals adopted in the [Millennium Summit Declaration](#). UNICEF assistance is normally not limited to interventions aimed at survival alone, but also links to the development and protection of the child. Most support to health, nutrition, water and sanitation, education, cultural or recreational activities contribute to the maximum development of the child.

19. While all Child Rights principles have equal weight and value, the principle of the right of the child to life, survival and development is a foundation on which UNICEF-assisted country programmes are based. This principle guides UNICEF in the *selection* of the most relevant goals related to the MD/ MDGs, WFFC, and MTSP, given its scarce resources. Other principles guide *how* programmes for children are implemented.

20. The fourth foundation article (Article 12 of the CRC) establishes the principle of *respect for the views of the child*. A child who is capable of forming his or her own views has the rights to express those views in all matters affecting the child, and these views must be taken into account whenever decisions are taken concerning the child's well-being. Children should be given the opportunity to participate in decisions that affect them, in a manner appropriate to their age and evolving capacity. ([See Chapter 6, Section 15](#)).

21. The principle of *participation* is an important consideration in programming. Human rights law establishes that every person and all peoples are entitled to participate in, contribute to, and enjoy economic, cultural and social development, through which all human rights and fundamental freedoms can be fully realised. The appropriate participation of children and young people is not only desirable for increased ownership and sustainability of programme outcomes, but has consequences for the design and implementation of programmes and development activities.

22. *Accountability* is a human rights principle with strong programme implications. States acknowledge and accept obligations when they ratify human rights treaties. In doing so they agree to implement these treaties and to be accountable for respecting, protecting and fulfilling the rights of the people within their jurisdiction. States Parties must demonstrate efforts to implement the provisions of the treaties they ratify. Ratification requires States to align their domestic laws with treaty provisions and to ensure that steps are taken to make government at national and sub-national levels respond in ways consistent with the letter and intent of the law.

23. Ratification of human rights treaties makes States legally accountable and opens the way to UNICEF and other UN agencies to discuss with governments why children's or women's rights are not being realised. UN development agencies are required by the UN Charter to play a role in the realisation of human rights. For instance, UNICEF and other UN agencies may support the monitoring of human rights and analysis of the causes of human rights shortfalls, and advocate for changing national policies and practices, or the policies and practices of non-state entities, when they undermine or impede the realisation of human rights. The specific references to UNICEF in the CRC implementation articles (Articles 45a and 45b) place a further responsibility on the organisation.

24. While the assessment and analysis of the status of children's rights influences the *selection* of programme areas for cooperation, human rights principles will influence the way in which interventions are *designed and implemented*. For instance, while low and uneven enrolment will prompt the co-operating partners to invest in an education programme, the principle of non-discrimination will help to focus on the extent and reasons for gender and geographic disparities in enrolment, and on how to reduce them.

Humanitarian Principles

25. In situations of armed conflict, the four Geneva Conventions of 12 August 1949 and the two Protocols additional to the Geneva Conventions of 1977 provide the basis for [International Humanitarian Law](#) (IHL) and the protection of victims of international and non-international

Accountabilities, Laws and Policies

A human rights-based approach is also about holding duty bearers accountable for doing what the claim holder has the right to expect. However, accountabilities are not a given. Parents, teachers, village headmen, government officials and parliamentarians may have different ideas about each others' accountabilities.

Claims and duties that are codified in laws and policies help to clarify the accountabilities of duty bearers. Laws can identify duty bearers and include redress mechanisms for rights holders. A "policy" can be expressed in different forms. Duties of civil servants can be reflected in job descriptions or standards of service.

UNICEF and wider UN cooperation helps countries to clarify claims, duties and accountability mechanisms relating to children's rights, and to codify them in policies, legislation, programmes or administrative procedures. Country Offices can advocate for new laws and policies that make marginalized children the primary beneficiaries. UNICEF can help to ensure that a policy is "good" in respect to a human rights approach, and identifies the:

- claim and the claim holders, including marginalized children;
- duty bearers (groups of people, or institutions);
- duties (actions, standards of performance);
- resources available to duty bearers;
- redress channels available to claim holders;
- monitoring systems, review and reporting schedules;
- methods of dissemination of the policy.

armed conflict. The Conventions and additional Protocols establish fundamental guarantees for humane treatment, and offer special protection for children in the areas of education, recruitment, reunification and safe areas. Article 3, which is common to all four Conventions, and additional Protocol 2, define a number of cases that represent the minimum in humane treatment and stipulates that any of the following constitutes a violation of international humanitarian law: violence to life and persons, in particular murder, mutilation, cruel treatment and torture; taking of hostages; outrages against personal dignity, in particular humiliating and degrading treatment; the passing of sentences and carrying out executions without previous judgement pronounced by a regularly constituted court. They furthermore contain provisions that children under 15 should be particularly protected, as are women, and should not be recruited. Medical consignments, food, clothing and special items for children under 15 should be allowed free passage.

26. During work in complex emergencies, the following **humanitarian principles** derived from those Conventions and form part of a human rights approach to programming:

- *The Humanitarian Imperative*: to prevent and alleviate suffering; to protect life and health, with dignity and attention to the most vulnerable; and to ensure respect for the human being. The Humanitarian Imperative implies a right to receive humanitarian assistance and a duty to offer it. It also implies an overall approach to the protection of rights, i.e. the respect of international humanitarian law and human rights.
- *Neutrality*: Relief organisations are not to take sides in the hostilities or in controversies based on political, racial, religious or ideological identity (non-partisanship). Transparency and openness are key in maintaining neutrality. In keeping with human rights principles, neutrality does not imply, however, that no action against particular child rights violations should be undertaken. In other words, relief agencies are to take no other side than the side of children. Military assets must only be used as a last resort, and provided the relief operation remains under the overall authority and control of humanitarian organization(s).
- *Impartiality*: Aid should be delivered to all those who are suffering regardless of their sex, age, ethnicity, or identity. The only guiding principle is their need and the corresponding human right. Where resources are not sufficient, priority is always given to those most affected, in conformity with all human rights and human rights principles.

In addition, the following principles, agreed by the [Inter-agency Standing Committee](#) on humanitarian aid, should be followed in providing emergency assistance:

- *Do No/Less harm*: Aid must not become an indirect part of the dynamics of the conflict; assistance should support recovery and long-term development.
- *Accountability*: Aid agencies are accountable to both the communities (that their needs are met) and donors (that assistance is provided for the intended purpose).
- *Participation*: Relief should build on existing capacities and promote participation.
- *Respect for culture and custom*.

While Humanitarian Law is generally applicable in situations of conflict, principles as explained above also apply to natural disasters and other types of emergencies.

27. *The CRC remains applicable in situations of armed conflict.* The Convention does not allow for derogation in times of crises, and is applicable to *all* children in *all* situations. CRC articles that are *particularly* relevant to complex emergencies include:

- Article 38, which links the Convention with International Humanitarian Law. It also addresses the recruitment of children into armed forces;
- Articles 9,10 and 22, which relate to family unity and family reunification;
- Article 22, which deals with the rights of refugee children;
- Article 39, which affirms the right to support for psychological recovery and social reintegration of traumatised children;
- The [Optional Protocol to the CRC](#) on the Involvement of Children in Armed Conflict.

28. Especially but not only in the absence of functional States Parties, co-operating international partners should themselves abide by the CRC and do all they can to ensure that others do so as well, including through advocacy and programmes to address clear violations of children's rights.

Human Rights and Development

29. Realization of human rights has been reaffirmed as the ultimate purpose of development efforts, as for instance expressed in the [Millennium Declaration](#) and the [UN reform agenda](#). These statements promote the concepts of public sector accountability, good governance, and inclusive and participatory societies. A particularly good reference on this subject is the [UNDP Human Development Report 2000](#).

30. Many of the rights that the CRC codifies, such as the right to the highest attainable standard of health, to education or to protection from abuse and neglect, are related to the basic needs that have traditionally been the focus of UNICEF's work. Under a human rights-based approach, benevolent and charitable actions, while good in themselves, are considered insufficient. The empowerment of rights holders is in itself an important result. A human rights-based approach, therefore, is likely to better guarantee the sustainability of development results.

31. The action agendas of global conferences, particularly the World Summit for Children, the Fourth World Conference for Women, the Millennium Summit and the UN Special Session on Children are an important complement to the CRC and CEDAW and form part of the overall framework which guides the UNDAF process and UNICEF cooperation. These include the recommendations and plans agreed at the:

- [World Summit for Children \(1990\)](#)
- [World Conference on Environment and Development \(1992\)](#)
- [International Conference on Nutrition \(1992\)](#)
- [World Conference on Human Rights \(1993\)](#)
- [International Conference on Population and Development \(1994\)](#)
- [World Summit for Social Development \(1995\)](#)
- [Second UN Conference on Human Settlements \(1996\)](#)
- [World Food Summit \(1996\)](#)
- [Amsterdam and Oslo Conferences on Child Labour \(1997\)](#)
- [World Conference on Education For All \(Dakar, 2000\)](#)

- [World Conference for Women \(Beijing +5, 2000\)](#)
- [Millennium Summit \(2000\)](#)
- [UN Special Session on HIV/AIDS \(2001\)](#)
- [World Conference Against Racism, Racial Discrimination, Xenophobia and Related Intolerance \(2001\)](#)
- [Yokohama Conference on the Commercial Sexual Exploitation of Children \(2001\)](#)
- [UN Special Session on Children \(2002\)](#)
- [World Summit on Sustainable Development \(2002\)](#)
- [Third World Water Forum \(2003\)](#)
- The progress review of the Millennium Summit Declaration (forthcoming in 2005)

32. The latest [CCA and UNDAF](#) guidelines specifically call on the UN Country Teams to assess and analyse the national implementation of human rights conventions and the commitments made at global conferences, and to assist national partners in carrying out their commitments.

Achieving Results

33. Facilitating the enjoyment of human rights directly involves the attainment of human development goals. For instance, the right to survival relates to the goal of child mortality reduction (MDG 4); the right to education includes achieving universal primary education (MDG 2); the right to protection from economic exploitation is supported by the objective of ending harmful child labour (the MD and ILO Treaties), etc. If results are not achieved and sustained, human rights will not be realized.

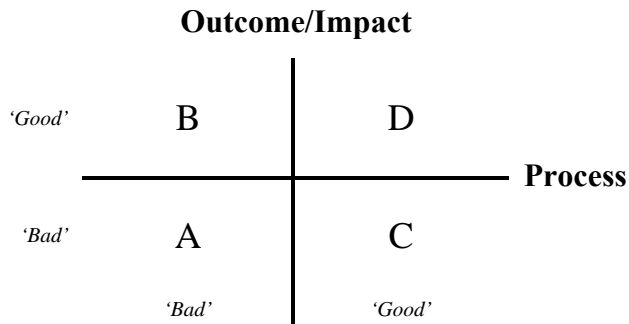
34. Results can imply a positive change in the condition of children and women (e.g. reduction of incidence of child labour), a positive change in a development process (e.g. increased participation of parents in school management), or most likely a combination of both. Similarly, in addition to providing access to lifesaving goods and services, the prevention and mitigation of further disasters are important results in emergency situations. Both “impact” and “process” types of results are essential steps in the fulfillment of human rights.

35. A Human Rights Based Approach to Programming entails that the processes by which outcomes and impact for children and women are achieved are important. Participation, local ownership, capacity development and sustainability are essential characteristics of a high quality process. The relationship between these two conditions is illustrated in Figure 2.2. A Human Rights Based Approach challenges UNICEF and its partners to position programming in “D”.

36. Outcome and Impact type of results are related to agreed national and international *standards*, which in turn are reflected in international goals such as the MDGs. Good process-type results derive from and should always reflect Human Rights and Child Rights *principles*, including those outlined in paragraphs 12 and 13 above.

37. Many programmes become trapped in one of the two areas represented by B or C. A good outcome at the expense of, for example, sustainability (an aspect of a good process) is as futile as a good process without any significant impact. Some immunization programmes become trapped in B; some area-based, community-oriented programmes never move to scale and get trapped in C.

Figure 2.2 Outcome and Process



Other Important Considerations for Human Rights-Based Programming

The child as a subject of rights

38. The CRC defines a child as every human being below the age of eighteen years unless under the law applicable to the child, majority is attained earlier (Article 1). As holders of rights, children have an active role in helping to define how the rights are to be fulfilled. Together with the principle of “Respect for the Views of the Child”, this means that children and young people should participate in decision-making processes that affect them, in ways that are appropriate for their age and evolving capacities. Not only should young people’s opinions be sought when designing programmes that concern them, but they should also have adequate and increasing opportunities to participate in implementing activities, for instance through providing peer education. Interventions can be directed to provide, within the national context, opportunities for girls and boys to discuss relevant issues among themselves, present their views to parents, opinion leaders and decision makers and thus participate in societal decision-making ([see Chapter 6, Section 15](#) on promoting participation of children and young people).

The role of parents, family and community

39. The CRC explicitly recognises the role, rights and duties of parents or the "extended family or community" as the primary caregivers and protectors of children. The state is obliged both to assist parents and legal guardians in these roles and to step in the best interest of the child when the family is unable to or fails to meet its obligations to its children. UNICEF programme cooperation should therefore be designed to strengthen the capacity of parents and other family members, as the primary caregivers, to provide better care and protection for children. UNICEF should assist and encourage governments in ensuring access of families and communities to quality basic services, information and essential supplies, and in supporting families and communities that are unable to adequately care for their children – including for reasons of extreme poverty, emergency, or because of HIV/AIDS.

Setting priorities - a country-level focus

40. It is unrealistic to expect country programmes to deal with all denials and violations of rights at the same time. It is the responsibility of States to determine where to begin, what is most urgent, and what is most strategic, always in a manner that is true to the spirit of CRC or CEDAW and, in the case of the CRC, in a manner consistent with the best interests of the child. UNICEF will, however - through support to the preparation or updating of a Situation Analysis of Children and Women, through its contributions to the CCA and national policies, and through its advocacy based on local and international experience - assist the Government in identifying the most critical problems affecting children.

41. It also follows that organisations working in the country to promote and fulfil human rights, including UN agencies, need to carefully prioritise areas for cooperation – according to their own capacities and available resources, their expertise and accumulated experience, national and organisational focus areas, and the common understanding of the prevailing situation of children and women.

42. Under the current Medium Term Strategic Plan ([MTSP](#)), 2006-2009, UNICEF Country Offices are directed to review and report on the country situation and discuss appropriate prioritisation within UNDAFs and with national partners particularly in the following five focus areas:

- Young child survival and development
- Basic education and gender equality
- HIV/AIDS and children
- Child protection from violence, exploitation and abuse
- Policy advocacy and partnerships for children's rights

Achieving the maximum with existing resources

43. Article 4 of the CRC indicates that States Parties shall undertake all appropriate legislative, administrative, and other measures for the implementation of children's rights. With regard to economic, social and cultural rights, State Parties shall undertake such measures to the maximum extent of their available resources. The State has a duty to act in the best interests of children when allocating resources available in society, no matter how limited these resources may be. The State must demonstrate good faith by showing that actions are being taken to give children priority and will result in the progressive realization of their rights. While governments have the principal responsibility, this duty covers others, such as welfare institutions or NGOs, including those at sub-national level. Similarly, Articles 3, 4 and 5 of CEDAW describe the obligation of State Parties to undertake appropriate measures to promote the rights of women and girls.

44. State Parties' decisions to serve the best interests of children could result in significant shifts in the allocation of government resources. This would also reflect the fact that efficient spending on children is an investment with high social and economic returns. During analytical work and CCA preparation, the UN Country Team should examine the extent to which national resources are used to advance human rights and the human development agenda. In particular, this means determining the level, distribution, efficiency and effectiveness of the resources devoted to children and women, and examining whether the standard of "maximum extent of available

resources" is met. In the analysis of fiscal and international aid policies, the standards of the [20/20 initiative](#) provide a widely agreed benchmark.

45. Article 4 of the CRC also implies that resources other than government budgets should be considered. For example, institutional and even privately held resources, including intellectual and other human capacities, can and may need to be tapped – as part of the effort to “leverage” resources and results for the rights of children.

International cooperation

46. The CRC links the responsibilities of States Parties with those of international development partners (Article 4). Because violations of children’s rights often involve trans-border activity, States Parties must work together to stop such violations. National efforts to implement the CRC need to be complemented by sustained multilateral cooperation, especially in prevention of HIV/AIDS, exploitation and trafficking of children, especially girls. Many such programmes require cross-border strategies and the synchronisation of national action. A number of CRC articles specifically call for international cooperation, including those concerning the child's rights to health (Article 24), to special care when disabled (Article 23), to education (Article 28) and to protection against abduction and trafficking (Article 35). UNICEF is specifically mentioned in Article 45 of the CRC: "The Committee shall transmit, as it may consider appropriate, to the specialized agencies, the United Nations Children’s Fund and other competent bodies, any reports from state parties that contain a request, or indicate a need, for technical advice or assistance...”.

Implications of the CEDAW

47. Women’s rights, status, role and well-being are central to human development and to the realisation of the human rights of children. The persistence of grossly unequal gender relations and wide gender gaps in the social, economic, political and civic spheres not only constitutes a denial of the individual human rights of girls and women, but also reduces human capabilities, threatens social cohesion and distorts social values and relations. The CEDAW points out that discrimination continues to be an obstacle to the realisation of women's civil, political, economic, social and cultural rights. CEDAW sets out the obligations of States Parties in enacting appropriate legal, administrative and other measures. Its scope extends beyond public life to include discrimination that occurs in private life and in the family, and its stipulations apply to girls and women of all ages. The UNICEF Executive Board has endorsed in 1994 the understanding that the CRC and CEDAW jointly provide the norms for gender-responsive programming. UNICEF-assisted programmes should therefore seek to create conditions that empower women and allow women and children – including girls - to participate fully in community life, and in the development and monitoring of laws and policies that affect them.

48. The stipulations of CRC and CEDAW are mutually reinforcing. This has led to measures such as: specific actions for the elimination of discrimination and reduction of gender-based disparities, for example special policy measures to promote gender equality in education; legislative reform for ending discrimination; and recognition of sexual exploitation of children and gender-based violence as violations of human rights, leading to legal measures for punishing the perpetrators.

49. Girls and women are especially vulnerable during situations of emergency and mothers are usually primary child guardians and care givers at this time. Therefore, special protective and supportive measures are necessary for women and children during situations of crisis and instability. It is imperative also to recognise women's capacities, and bring them to the centre of humanitarian response strategies and conflict resolution.

The CRC and CEDAW reporting process

50. State Parties to the CRC are responsible for periodic reporting to the Committee on the Rights of the Child. This reporting should be a capacity development exercise for government, NGOs and civil society. Article 45a of the CRC states that “The specialized agencies, the United Nations Children’s Fund and other United Nations Organs shall be entitled to be represented at the consideration of the implementation of such provisions of the present Convention as fall within the scope of their mandate”. UNICEF involvement should be strategic and catalytic, and should encourage a participatory and transparent process that will draw the attention of all sectors of society to the rights of the child. However, UNICEF offices should not dominate nor lead the reporting process. Additional guidance is available in: “The [Reporting Process](#) to the Committee on the Rights of the Child: A UNICEF Resource Guide.”

51. The UNICEF-supported situation analysis of children and women, the CCA, the UNDAF and Country Programmes themselves should take into account State party reports as well as the Concluding Observations reports and recommendations of the [Committee on the Rights of the Child](#) and the [Committee on the Elimination of Discrimination Against Women](#). The concerns and specific problems identified by these Committees may point to the need for further research, advocacy or priority programme interventions, which may be supported by UN agencies, including by UNICEF as part of its Programme of Cooperation. UNICEF also provides relevant information, as requested, to these Committees for their review of States' reports. The Committee on the Rights of the Child in particular may rely significantly on UNICEF to help it assess the situation and context of children in a country. Reports, observations and recommendations of UN human rights treaty bodies are available on the website of the Office of the High Commissioner for Human Rights: www.unhchr.ch

Harmonization of national legislation with international human rights treaties

52. UNICEF-supported research should periodically examine the degree to which legislation and its enforcement (both on paper and in practice) are in compliance with the CRC and CEDAW and other relevant treaties and protocols. It is also often important to examine customary law and traditional practices. In many countries, a general legal system, such as civil or common law, coexists with an array of customary laws and institutions. UNICEF and national partners should work together to increase understanding of how legislation, cultural practice, institutions, social policy and budgets affect the realisation of children's and women's rights.

Taking a holistic view and seeking partnerships in support of long-term change

53. A human rights approach implies that programme objectives and results for children are situated within the context of wider change to the underlying conditions affecting the implementation of CRC and CEDAW. Thus programmes of co-operation need to balance

activities that respond to the urgent survival, basic service and protection needs of children with those – such as participation and reduction of discrimination - that contribute to the social, economic and legal transformations that will guarantee the sustained and universal fulfilment of children's rights.

54. A human rights perspective also considers the civil and political dimensions of meeting basic needs, including underlying inequality or discrimination based on gender, ethnic origin or social class. Children's survival and full development will depend on the effective *convergence* of essential services, child-oriented policies and the quality and dependability of care and protection offered by their families and communities. UNICEF's cooperation, therefore, should be situated within a broad strategy that recognises and draws on the contribution of a range of ministries, local government, private sector agencies, Civil Society Organisations (CSOs) and community actors.

55. As outcomes for children need to be influenced through institutional and administrative arrangements of the State, at local and national levels, as well as within families and communities, the participation of [Civil Society Organizations \(CSOs\)](#) that share common values and principles is essential. The roles of [Non-Governmental Organisations \(NGOs\) or Community Based organizations \(CBOs\)](#), professional bodies, activist movements (e.g. women's rights or minority rights groups), faith-based and private sector entities should therefore be considered when analysing the country situation and deciding on programme strategies. Such alliances are not an alternative to working with governments. However, networks of different organisations and groups can make a significant contribution to national capacity for CRC and CEDAW implementation. Partnerships are particularly important in volatile situations where the human rights of children and women are acutely threatened.

56. Other elements of a human rights based approach, including practical steps to be considered during programme design and implementation, are incorporated in the other chapters.

Excerpts from the [UNICEF Mission Statement](#)

"UNICEF is mandated by the United Nations General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential.... UNICEF is guided by the Convention on the Rights of the Child and strives to establish children's rights as enduring ethical principles and international standards of behaviour towards children... UNICEF aims, through its Country Programmes, to promote the equal rights of women and girls and to support their full participation in the political, social and economic development of their communities."

Section 2. Country Programme Approach

The Country Programme Approach

57. Support to a country for the realisation of children and women's rights must focus on selected goals and priorities. It requires a clear articulation of how UNICEF's catalytic and operational role in the country, key strategies, resources and partners come together to support the achievement of results for children and women. The country programme approach leads to a clear direction for UNICEF cooperation.

58. Under the country programme approach, United Nations agencies work with the government, civil society organisations (CSOs) and other partners in a country to develop and support programmes of cooperation to facilitate the achievement of national goals aligned with the Millennium Declaration and Millennium Development Goals. For UNICEF, the programme of cooperation takes into account the following: priority problems facing the country's children and women; related national goals and priorities; other related international goals and commitments; the priorities for UN cooperation as articulated in the UNDAF; the UNICEF mandate and Focus Areas encapsulated in the Medium-Term Strategic Plan ([MTSP](#)); the expected contributions of other partners; the comparative advantage and resources of the country office; and past programme experience.

59. The CP is more than just the sum of UNICEF-assisted activities. It brings together, conceptually and operationally, all UNICEF-assisted programmes and AWP as mutually supporting measures within the UNDAF framework involving different sectors, partners and communities, and often different levels of government.

60. The ownership of the CP belongs primarily to the country itself. As part of the [National Execution Approach](#), UNICEF assists national and local partners to implement a set of agreed activities within the CP and supports the building of their capacities. However, UNICEF will also strongly advocate where necessary for policies, programmes and actions to realise children's and women's rights. In addition, countries cannot expect or oblige UNICEF to cooperate in programmes that go against its mission, mandate, approved policies or international legal standards.

61. There are no standard programme packages that are applied to all countries. Rather, in each country, programmes address those children's problems agreed to be important and strategically suitable for UNICEF cooperation. These priority issues are identified in ongoing research and analytical work, which is periodically summarized in a Situation Analysis of Children and Women ([SITAN](#)), and which contributes to the Common Country Assessment ([CCA](#)) jointly prepared by the UN agencies and government or other analytical work. The resultant UN Development Assistance Framework ([UNDAF](#)) positions UNICEF cooperation as part of the work of the UN system.

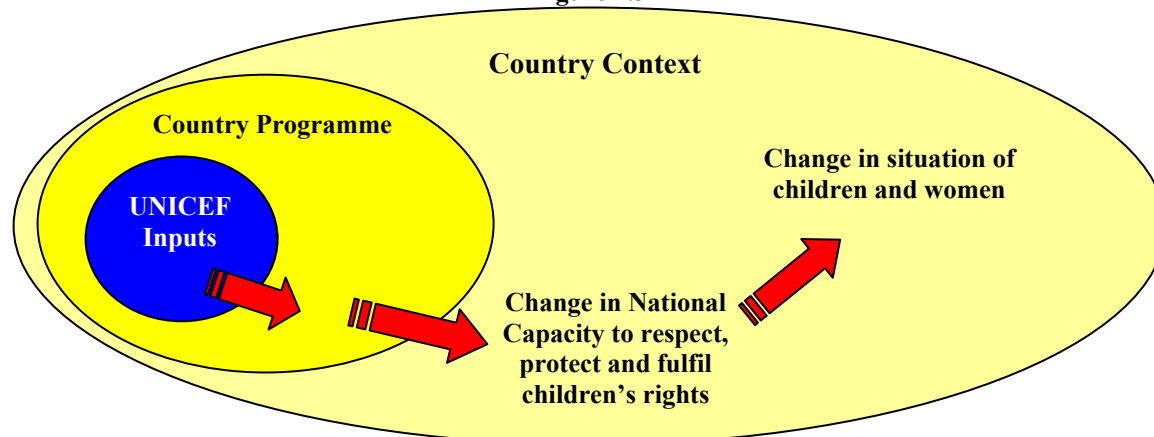
62. Where the programme aims to support community-level action and capacities, collaboration with adequately skilled and equipped government institutions or CSOs might take place at the sub-national levels (province, district, municipality, constituency or community). Collaboration with

local institutions is often important for the analysis of the situation of highly disadvantaged groups, as well as for [pilot projects](#) (see [Chapter 6, Section 18](#)), community mobilisation, and participatory monitoring and evaluation. Through such partnerships, local capacity can be built to sustain and monitor change with less need for external inputs. Typically, UNICEF-assisted programmes are not the exclusive domain of one ministry or agency but are related to the work of many bodies, including the ministries of finance and planning and those responsible for local administration.

63. As illustrated in Figure 2.3, accountabilities under the country programme approach mean that:

- A change in the situation of children and women will take place through a change in national capacities. The Government is accountable to its constituents for strengthening civil society and families, legal and policy frameworks and its own capacities for ensuring the fulfillment of children's and women's rights, including by ensuring access to quality basic services.
- The country programme, within the United Nations Development Assistance Framework (UNDAF), makes a contribution to building national capacities. It is implemented by Government and other national partners, who are accountable to their constituents for the good use of the available programme resources.
- UNICEF is accountable to its Executive Board and its funding partners for assuring the quality of the country programme design (planning inputs), ensuring programme monitoring and reporting, and for the efficiency and effectiveness of UNICEF financial, material, informational, technical and human inputs into the country programme.

Figure 2.3



64. UNICEF does not hand over responsibility for its resources to host governments or to other partners for their unilateral decision. UNICEF offices, through the Executive Director, remain responsible to the Executive Board and to UNICEF funding partners for managing the resources entrusted to them for the maximum feasible benefit of children, in accordance with UNICEF policy and procedures. Resource allocations are planned, and expenditures and results are monitored through a continuously consultative process for which the co-operating partners are jointly responsible, with well-delineated responsibilities for implementation.

65. Further, in order to clarify the relationship between the Country Programme Approach and the MTSP, it is useful to distinguish three different levels of management that guide UNICEF: the

programme level; the Country Programme level; and the level of organisational policy and strategies:

<i>Key Reference</i>	<i>First line accountability for results</i>	<i>Level</i>
Mission Statement, MTSP , Board-approved Policies	Global Management Regional Management	Organisational Policy, Strategy
UNDAF, CPD, CPAP	Representative, CMT, with partners	Country Programme
CPAP components, AWPs, AMP	Programme managers with partners	Programme

Relationship to international and national goals and priorities, including PRS(P)s and SWAps

66. Many countries routinely prepare poverty reduction strategies and/or National Development Plans. [Poverty Reduction Strategies \(PRS or PRSPs\)](#) have become the basis of policy dialogue between development partners and government in their administration of development assistance. Development of PRS should be county-led and include broad participation of elected representatives, civil society, the UN system and key donors. The goals and priorities of PRS should also reflect the framework, adopted by governments, of the Millennium Declaration and the MDGs. PRSs are meant to emphasise sound macroeconomic and structural policies, to be developed in complementarity with adequately-resourced social and sectoral programmes aimed at poverty reduction. Strengthening governance is often an integral part of a country's poverty reduction strategy. Moreover, countries committed to the 2005 [Paris Declaration](#) have an additional obligation to improve the governance of development assistance. Many donors consider PRS a good mechanism to ensure better-coordinated use of their assistance. With poverty reduction firmly at the centre of the UN's normative and operational work, the PRS –where they exist - present a unique opportunity for the UN Country Team to advocate for more holistic human development approaches linked to human rights. For more details, refer to the latest [UNDG Guidance Note on the role of the UN in PRSPs](#).

67. A sector-wide approach (SWAp), sometime referred to as a sector development programme, is an integrated national programme of reform in a specific sector. It may be explicitly, or de facto, a component of a PRS. It typically lays out goals and objectives for the sector, a comprehensive policy framework, an investment plan and a programme of work with specific expenditure plans. By establishing funding and collaboration partnerships to support its goals, a SWAp seeks to overcome the limitations of an often-fragmented project-by-project approach, enhance national ownership, and to improve the impact and sustainability of development co-operation. An explicit and longer-term aim of many SWAps is better co-ordination of development assistance through the regular government budget, and avoidance of cumbersome separate funding or management arrangements linked to individual projects. A SWAp is not considered synonymous with pooling of funds (basket funding), although some SWAps encourage this practice.

68. The relationship between the different planning instruments can be described as follows:

- Governments adjust their plans, strategies and programmes in accordance with the Millennium Declaration and the human rights obligations they have assumed and to make progress towards reaching the Millennium Development Goals and other nationally-adopted targets, including those of the WFFC. National Development Plans, Poverty Reduction Strategies, or Sector Wide Approaches are expressions of national policies, plans and priorities, including those relating to children and women.
- United Nations agencies, based on the CCA or other country analytical work and UNDAF, provide support to Government policies, plans and programmes aimed to fulfil national commitments towards the Millennium Declaration and to reach selected MDGs and other nationally-adopted targets and commitments. The CCA can provide analytical inputs into the formulation of the PRS. UNDAFs should support and complement the national poverty reduction strategy. UN agencies can share their expertise in normative standards, policy advice, international good practice, capacity development, field operations and advocacy with governments and other national partners working on their national development plans, PRS or SWAs.
- The UNICEF-assisted Country Programme reflects the priorities and planned outcomes of the UNDAF. The selection of specific CP outcomes and strategies is guided by the MTSP, as well as by national priorities for children.

69. Specifically, UNICEF Country Offices should assist national partners in ensuring that national plans, and PRS or SWAs reflect as far as possible the following areas (also see [E/ICEF/2001/10](#), [CF/PD/PRO/1999/01](#), the [UNDG Guidance Note on UNCT engagement in PRSPs](#) and the [PRSP Resource Package on the Intranet](#)):

- (i) key human rights issues of accountability and non-discrimination; the right to life, survival and development; the right to participation and self expression, and considerations of the best interests of the child;
- (ii) a holistic, gender-sensitive, child-centred approach which recognises children as holders of rights; and the incorporation of developmental outcomes that will contribute to the realization of rights of children and women;
- (iii) information from household surveys, sectoral studies and participatory assessments on the multiple human dimensions of poverty, including on non-income aspects and specific vulnerabilities, disaggregated data by sex, age, or other sub-groups;
- (iv) an operational approach which incorporates, whenever necessary, cross-sectoral perspectives, and which promotes formal participation of local, civil society, and non-governmental stakeholders – especially those who are poor - in the planning process.
- (v) gender issues and the identification of gender biases that may be inherent in macro-economic and sectoral policies; and
- (vi) emergency risk analysis and information from vulnerability studies

Country Analytical Work and Knowledge Generation

70. UNICEF presence and programme assistance should always help to generate new or improved knowledge on the situation of children and women. UNICEF-commissioned country analytical work is primarily a developmental contribution to national research. UNICEF programme assistance is used to fill key knowledge gaps within a country-specific research agenda, combining specific studies, surveys, reviews and evaluations to increase the understanding of causes and linkages between issues affecting the rights of children and women and potential hazards to their

well-being. It helps to identify the country's human, financial and organizational capacities, the capacity gaps at different levels, and the needed actions. Particular attention should be paid to the analysis of issues related to the focus areas of the MTSP. The research agenda can be part of the [Integrated Monitoring and Evaluation Plan \(IMEP\)](#), and should be reflected in the Country Programme Action Plan (CPAP) and in relevant AWP's and budgets.

71. Analytical work supported by UNICEF will often include, if not covered elsewhere:

- the situation of *highly disadvantaged groups* (e.g. minority groups including indigenous peoples, populations living in remote areas, squatter areas and/or in extreme poverty, internally displaced, refugee children), including analysis of the underlying reasons for marginalization or exclusion, and the opportunities for their participation in political and community decision-making. ([See Chapter 6, section 20](#) for guidance on analytical and programming guidance on reaching marginalized children and their families).
- the influence of *gender relations* at family, local and national levels, including roles, attitudes, inequalities and discrimination in legal status, resource access and control.
- *comparative analysis of national legislation* with the CRC and CEDAW to identify gaps (and successes) in both the content of the law and its implementation. This process will identify, for example, cultural practices and traditions that undermine the realisation of children's and women's rights.
- the availability of and access of families to *essential services and commodities* for children and women (e.g. vaccines, textbooks, educational materials, water point spare parts, bed nets, essential drugs, health information, essential obstetric care, voluntary and confidential testing and counselling for HIV/AIDS). Where indicated by the severity of problems in access to such services and commodities, further analysis of the reasons should be undertaken (e.g. inappropriate public expenditure or taxation; pricing policies; inability of families to contribute user fees; weaknesses in distribution channels, logistics, and infrastructure). A new PRO regarding commodity assessments will be available in early 2007.
- the current or potential presence of *emergencies*, the likelihood of their occurrence, the particularly vulnerable population groups that will be affected, and the capacities and coping mechanisms of families, communities and local institutions to deal with the crisis. Such a [vulnerability/capacity analysis](#) (Chapter 6, Section 2) would consider exposure to environmental disasters or epidemics, the risk of economic decline, the degree of political stability, and exposure to war or possibility of civil disorder. The quality and coverage of existing early warning systems and national disaster preparedness plans should also be examined.
- assessment and where necessary causal analysis of major *environmental trends and factors* that may currently or in the future affect the realisation of the rights of children and women - for example, environmental health issues related to urban overcrowding, severe water shortages or contamination, air pollution, industrial hazards, soil erosion. See [Chapter 6, Section 3](#) for guidelines on the mandatory environmental impact assessment at programme and project level).
- programme experiences, including from pilot projects and lessons learned, as important contributions to local, national and global knowledge on programming for children and women. COs should allocate adequate resources and time to ensure that such knowledge is preserved and shared. ([See Chapter 6, section 19](#) for detailed guidance on preparation of lessons and good practice)

- in-depth research on selected topics, carried out in collaboration with academics, other parts of UNICEF and other agencies, to generate new knowledge in areas important for children's rights and well-being. Such studies will inherently be selective, linked to particular priorities and opportunities in a given setting. They should be aimed at a high level of quality and often external publication, to contribute productively and visibly to debate and learning about children's issues at the country, regional and global levels. Research and studies are framed within the IMEP.

72. The CO, the UNCT and other agencies may judge it necessary to analyse sensitive topics affecting children's and women's rights. Many such topics – such as discrimination and exploitation, gender-based violence, corruption, incipient famine and civil unrest – may not be readily accepted as research topics by the government. Yet these are often critical issues, and sometimes precursors of emergencies. Also, divergent points of view may often prevent reaching consensus on all problems or their causes. Conflicting views are often an indication that there may be deeper problems relating to attitudes or values concerning human rights or gender equality. The CO should exercise leadership to ensure divergent views get a fair hearing. For instance, the involvement of a CSO or the wider UN Country Team may facilitate an analysis of issues that the government finds sensitive. The views of local and community groups may often be sought. Where practical and ethical, the meaningful and substantive participation of children and adolescents in research activities should be facilitated ([see Chapter 6, Section 13](#)).

73. Analytical work on children and women's rights is usually part of longer-term collaboration to develop national capacity for child-focused research.

74. To adequately support analytical work, staff should be familiar with a [human rights approach to programming](#). A [training package](#) is available for this purpose on the Intranet. Training in gender analysis is also useful

75. A new or updated Situation Analysis of children and women (SITAN) document, as a synthesis of new statistics, national policies, laws and trends, and new research and analysis accumulated over the past years, should be prepared *at least once* in the course of a Country Programme. It should be based on a comprehensive assessment of the rights of all children and women, use a conceptual framework to identify the main causes of the problems, and be done through a human rights –based methodological approach. The timing and preparation of an updated SITAN should be planned for in the IMEP, mentioned in the CPAP, and budgeted for in the relevant Annual Work Plans.

76. The main responsibility for the preparation or updating of a SITAN is normally taken by a government agency with cross-sectoral responsibilities, such as the President's or Prime Minister's Office, or the Planning or Finance Ministry, in collaboration with UNICEF. Appropriate ministries, such as health, education, social affairs, rural development as well as municipal authorities, provincial and district officials, and CSOs working for children's and women's rights are often involved. National research institutions and university departments contribute and in some cases technically lead the preparation of an updated SITAN.

77. In preparing a SITAN, COs should ensure that all relevant existing sources of data and research on children and women in the country is identified and reviewed for possible use. These would typically include, but are not restricted to:

- The latest country report to the UN Committee on the Rights of the Child, and the Committee's concluding observations and recommendations to the government, as well as the country reports on the CEDAW and the observations of the CEDAW Committee.
- Routine statistics generated by Ministries or Statistical Offices, e.g. Health Information System (HIS) reports, Education Management Information System (EMIS) reports, Annual Reports of Ministries, Treasury expenditure reports, etc.
- Special-purpose surveys, such as Census, Demographic and Health Surveys (DHS), multiple indicator cluster surveys (MICS), labour surveys, etc.
- Sectoral and macro-level analyses and programme evaluations undertaken by the government or other national and international partners, including those done as a basis for SWAps and PRS.
- Local level studies, such as baseline surveys, community consultations or evaluations done for specific projects by Government or development partners.
- Legislative and budget review.
- findings from the last Mid-Term Review or Evaluation of the present or previous Country Programme or UNDAF.
- The DevInfo database, where it exists.
- previous SITANs.

78. Important issues where information or analysis is lacking should be earmarked for further study, and may become part of the research agenda.

79. There is no prescribed structure of the SITAN document. The SITAN should primarily be an analytical document, establishing causalities for unrealised rights of children and women and responsible actors, and leading to the identification of major issues for inclusion in the CCA and possible interventions to be supported by the Country Programme, the UN, or other development partners.

80. The opening chapter of the SITAN normally deals with the political, social and economic context and the institutional, policy and legal framework relevant to children's and women's rights. Other chapters cover the priority problems affecting children and women, and the immediate and more underlying factors at the local, community and household levels. In its final sections, the SITAN links assessment and analysis to broader courses of action that might address the problems and their causes, identifies those responsible to act and analyses their capacities, and indicates possible programme and research priorities, both for UNICEF and UN cooperation and beyond.

81. The Government often comments on the SITAN document and, in some cases, will wish to clear it. Ideally, the SITAN should be published by a government ministry or national research institution. The Regional Office (RO) should be asked to comment on the conceptual design and methodological approaches for the SITAN, and on draft SITANs. Hard and electronic copies of the final document are shared with the RO and NYHQ (Programme Division, Division of Policy and Planning, and Evaluation Office).

82. The SITAN document is an important advocacy tool. It feeds into the preparation of the CCA by the UN Country Team and other strategic planning documents, including a PRS.

Resource Management

83. The UNICEF Executive Board approves the estimated and planned amounts of UNICEF Regular Resources (RR) and Other Resources (OR) to be used in support of CP activities on the basis of the Country Programme Document (CPD). In addition, the *programme support budget* is allocated to fund UNICEF's core presence and operations in countries and regions.

84. UNICEF disburses its resources on the basis of activities agreed with national partners, as described in the Annual Work Plans (AWPs). AWPs are developed in collaboration with national programme partners, and implementation is jointly reviewed at the end of the year. UNICEF, UNDP, UNFPA and WFP have harmonized their procedures for transferring cash to national partners, including: the procedures for assessing the financial management capacity of partners; for requesting and reporting on the use of cash; and for activities meant to assure the good use of resources provided.

85. Where an Annual Work Plan has been developed for a Joint Programme or Project (i.e., where several UN agencies wish to support activities of a common Annual Work Plan), several disbursement options are available:

- *Parallel fund management*: Each agency disburses through its own mechanisms.
- *Pooled fund management*: A Managing Agent (MA) is selected from among the participating agencies. Agencies transfer the planned resources to the Managing Agent, who in turn disburses them to national partners according to the jointly agreed Work Plan. UNICEF can assume the role of Managing Agent.
- *Pass-through mechanisms*: UN agencies collaborating on a Joint Programme or Project may decide to jointly seek funding. In some situations it might be beneficial to select an Administrative Agent (AA) from among the participating agencies, who liaises with the donor(s) and receives funds on behalf of all agencies. UNICEF can assume the role of Administrative Agent. Funds are either passed on to individual agencies for parallel fund management, or to one agency for pooled fund management.
- A combination of any of the three fund management options, including when this may be preferred by donors.

86. Annual planning, monitoring and UNDAF Annual Reviews of progress for Joint Programmes or Projects will be undertaken jointly by the agencies. For more details on Joint Programming see Chapter 3 and 4, the [UNDG Guidance Note on Joint Programming](#), and [CF/PD/PRO/2004-03 on Joint Programming](#) and UNDG Website for best practices, joint programme database and results of a review of joint programmes.

Leveraging Resources for Children

87. Leveraging of resources with public and private sector institutions promotes the wider fulfilment of children's rights and should be consciously pursued - in accord with the changing role of the UN and multilateral institutions, the child-focus of the MD/MDGs, the increased use of budget support and pooled funding modalities. Leveraging of resources should be based on

carefully identified opportunities and comparative advantage, and should be in support of major result areas for children. Leveraging should be done in ways which are consistent with a Human Rights approach, which do not undermine existing social services and which contribute to equity goals.

88. COs should seek to influence strategic national investment decisions, including through systematic involvement in both PRS and SWAs, in conjunction with national counterparts, the World Bank and UN partners. With like-minded organizations, including NGOs and private sector networks, COs should promote child-friendly budgets and provide an analysis or critique of annual government budget proposals, including trends in budget allocations as they affect children.

89. Where appropriate, COs may offer *procurement services* ([CF/EXD/2000-03](#)) and other measures to increase commodity availability to poor families, including in the context of PRS, SWAs, support from Global Funds, or budget support mechanisms – especially for vaccines, bednets, anti-malarials, ARVs, school materials and textbooks. There might also be scope for further leveraging of *In-Kind Donations* ([CF/EXD/2004-012](#)) from companies.

90. The leveraging of wider resources and results for children should be included, as far as possible, as planned results in Country Programmes, together with indicators for monitoring and reporting on the impact achieved. For more information, see the [2005 Report of the Task Force on Leveraging Resources and Results for Children](#) on the Intranet.

Unstable Situations and the Core Commitments for Children

91. UNICEF is expected to respond adequately and consistently to situations of instability and crisis, within the context of the agreed Country Programme of Cooperation. The UNICEF Executive Board has defined an emergency as a situation that threatens the lives and well-being of a significant part of the population and in which extraordinary and prompt action is required to ensure their survival, care and protection. A complex emergency is a humanitarian crisis in a country, region or society where there is significant or total breakdown of authority resulting from internal or external conflict and which requires a coordinated and international response.

92. Country Programmes of Cooperation should therefore include provisions for emergency events, and be prepared to work with partners and respond rapidly. Emergency assistance is not to be considered additional to the work of UNICEF and programme partners. Rather, as far as possible, agreed and existing programmes and activities will be adjusted as needed to help prevent or mitigate the effect of any disaster on children and women, and to contribute to relief and rehabilitation as the country or region tries to achieve stability, build new national capacities and move to longer-term recovery.

93. Children and women almost always require immediate care, including shelter, food, health or clean water. In complex emergencies, they may also need legal and physical protection to prevent harm and ensure their access to humanitarian assistance (ref. [E/ICEF/2004/14](#)). Hence, specific steps should be undertaken in preparation for possible emergencies. This involves the identification of potential hazards and the groups of children and families most likely to be

affected ([vulnerability/capacity analysis](#)), the monitoring of early warning indicators that point towards the increasing likelihood of the occurrence of an emergency, and the completion of [preparedness measures](#) to ensure a rapid response. This will enable Country Offices to meet the UNICEF Core Commitments for Children ([CCCs](#)) in emergencies.

94. Preparedness is critical to enabling the Country Offices to meet the UNICEF Core Commitments for Children (CCCs) in emergencies. The CCCs describe a set of programmatic and operational actions, procedures and inputs that UNICEF will deliver in the first weeks of an emergency and beyond the initial response. The CCCs are intended to articulate more clearly for staff globally and for partners, the organization's focus at the onset of an emergency as a reliable, dependable and effective humanitarian agency.

95. The CCCs establish the following guiding principles (see [CF/EXD/2004-15](#)):

- Children in the midst of armed conflict and natural disasters such as drought, floods, and earthquakes have the same rights as children in stable countries;
- UNICEF's response will recognize the priority of humanitarian action while assuring safe access to affected populations, and safety and security of staff and assets;
- The emergency response will build on existing activities and partnerships developed through the country programme of cooperation; and
- The response will be based on nationally defined priorities and UNICEF's comparative advantage.

96. The CCCs also define UNICEF's operating approach:

- Conduct a rapid assessment to identify priority humanitarian action for children within 48-72 hours;
- Implement a valid and reliable system to monitor, regularly report on and publicise the needs of children and to evaluate the impact of the response;
- Establish UNICEF's response as part of a coordinated UN response plan, designed in collaboration with national and other partners;
- Position UNICEF in sector coordinating roles, wherever appropriate;
- Put operational systems and resources in place for rapid delivery of supplies and technical assistance; and
- Put mechanisms in place that prevent and limit the exposure of children and women to abuse, violence, exploitation and HIV/AIDS.

97. The CCCs further specify four main UNICEF commitments.

- *Rapid assessment*: to have the ability to conduct an immediate assessment of the situation of children and women in areas of crisis, and factors affecting the organization's capacity to function in the field.
- *Coordination*: to have the capacity to assume a coordinating role for sectoral support (e.g. life saving public health interventions for children and women; child protection) where appropriate, and to initiate strategies for initial response in collaboration with United Nations and other partners.
- *Programme commitments*: during the first six to eight weeks of a crisis, priority interventions for UNICEF are: rapid assessment and monitoring; measles vaccination, vitamin A, essential drugs and nutritional supplements; child and maternal feeding and nutritional monitoring;

water and sanitation; prevention of separation, sexual abuse and exploitation and other protective measures; and the resumption of schooling. UNICEF will carry out the appropriate interventions unless another agency is already covering them.

- *Operational commitments*: organisational capacity, procedures and resources (funds, staff and supplies) to ensure that the appropriate programmatic response will be made on a timely basis.

98. During prolonged emergencies, Country Offices will continue to follow the country programme approach, even though the goals and content of the programme of assistance might be more directed towards meeting short and medium term priority survival, development and protection needs of children.

Countries in Post-Crisis Transition Situations

99. Post-crisis transition is defined as the period following the nominal ending of a crisis where humanitarian needs must still be met while long-term rehabilitation and reconstruction have yet to be fully realized. In defining the scope of post-crisis transition, UNICEF's focus is on two categories of transition situations: post-conflict and post-sudden onset natural disasters. Although prolonged complex emergencies such as drought and the complexities of so-called 'fragile states' fall outside the scope of UNICEF's [new post-crisis transition strategy](#), it is understood that much of the guidance provided here can frequently be applied to these types of situations.

100. Key characteristics of post-crisis transition include the following:

- Gradual scaling down of the humanitarian assistance and scaling up of reconstruction and recovery activities in support of longer-term development goals;
- Shifting emphasis from saving lives to preventing the recurrence of crisis, and harnessing conditions for future development in a way that transforms as it repairs;
- Planning for early recovery where possible and opportune, initiated as soon as possible even whilst the humanitarian response is still ongoing;
- Insecurity may persist, or even increase, and new occurrences of crisis remain a real possibility; and
- Stability and progressive recovery in some parts of the affected area, while other parts remain in a state of emergency.

101. Unless agencies have already been responding during the crisis period, a post-conflict programme is normally prompted by one or more triggers (see also [Chapter 3, Section 3](#)). These can include a ceasefire agreement, a peace accord, an advanced stage of peace negotiations, or a Security Council mandate, possibly including the establishment of a UN peace operation or deployment of a peace-keeping mission.

102. Humanitarian activities might initially increase, because of areas that become newly accessible, because of continued or resurgent insecurity, or because of population movements (repatriation or displacements). The scaling down of humanitarian assistance and scaling up of reconstruction and recovery activities in support of longer-term development goals guided by the Millennium Declaration need to be agreed *jointly* by humanitarian and development actors. Such a joint strategy shifts the focus from the *symptoms* of the crisis to its *underlying causes*.

103. External assistance must help sustain the transition to peace and human security. It should support interventions to restore essential services, reconstitute livelihoods, jump-start the economy, provide social safety nets, and initiate capacity development of government and civil society organisations. It is important to promote the participation of children and women in the peace process. Assistance should reduce vulnerability and marginalization.

104. Consolidating peace requires the rapid establishment of security and stability, including where necessary, reform of state institutions and systems of justice and transitional justice, rule of law, protection of human rights, reconciliation among communities, and creation of conditions for the safe and voluntary return and reintegration of refugees and internally displaced people.

105. UNICEF's response to post-crisis transition is guided by the following principles:

- **National Ownership:** national ownership is a fundamental attribute of robust post-crisis transition policy and programmes, just as it is a prerequisite for rights-based stability. Participatory national ownership is essential to building consensus around post-crisis recovery objectives and reinforcing local capacities. Advancing both of these objectives should be an integral part of UNICEF support.
- **Capacity Development:** national ownership cannot fully materialize if national actors and institutions responsible for a country's recovery process do not have the required capacities to manage and lead that process. Capacity development should be integrally applied as a key cross-cutting theme throughout UNICEF programmatic assistance.
- **Bottom-up Approach to Programming:** fostering national ownership extends beyond the central government to include actors at all levels. A bottom-up approach to programme design is essential in fostering sustained results-oriented solutions to the delivery of goods and services for, and the empowerment of, vulnerable populations.
- **Building Back Better:** the basic premise of 'building back better' is that following a crisis, new opportunities often emerge for change or reform of pre-existing policies, infrastructure and services. These opportunities can bring about accelerated developmental gains. Building back better places a premium on rehabilitation of services, systems and institutions through the application of improved standards, methods for rehabilitation, and policies.
- **Participation of Children and Young People:** the meaningful participation of children and young people, commensurate with their capacities and with special focus on the marginalized and vulnerable young people, including those with disabilities, should be standard practice in any recovery process.
- **Gender awareness:** post-crisis transition assistance plans must take account of women's and girls' specific security, health and protection needs, recognizing that interventions may affect women and girls differently, and ensure their equal participation and involvement in recovery processes, including as brokers for peace and reconciliation.
- **Partnerships:** existing partnerships will need to be adapted and strengthened, and new ones developed, in ways that suit the specific characteristics of the post-crisis transition environment, the imperative of national ownership, and the premium placed on normative standard setting and advocacy, within the parameters of UN reform.

Early Recovery

106. In the immediate aftermath of a crisis, the focus of national and international actors is primarily on meeting lifesaving needs. However, from the very beginning, there is also a need for more than life-saving measures: the foundations for recovery and a return to longer-term development should be planned from the outset of a humanitarian emergency and put in place as early as possible to reduce the suffering and improve the ability to reach and improve the lives of vulnerable people affected by crisis.

107. Early Recovery begins early in a humanitarian setting and is a multi-dimensional process, guided by development principles. It aims to generate self-sustaining, nationally-owned, and resilient processes for post-crisis recovery. Early Recovery encompasses governance, livelihoods, shelter, environment and social dimensions, including the reintegration of displaced populations. It stabilizes human security promotes the fulfillment of human rights and addresses underlying risks that contributed to the crisis. Early recovery is a responsibility for both development and humanitarian agencies working in post-crises countries.

108. In practice, Early Recovery means:

- Humanitarian and development agencies working together on recovery as early as possible within the humanitarian phase - assessing, planning, mobilizing resources, implementing and monitoring activities;
- Supporting spontaneous recovery initiatives by affected populations;
- Supporting capacity of national actors to manage and implement the recovery process;
- Influencing the way humanitarian assistance is provided to avoid dependencies;
- Capitalizing on opportunities to reduce risk; and
- Establishing strong foundations for recovery and sustainable development.

109. In 2005, the IASC Cluster Working Group on Early Recovery (CWGER) was formed at the global level, consisting of UN and non-UN members from the humanitarian and developmental communities, with UNDP as the designated cluster lead. At the global level, the CWGER is accountable for enhancing a global-level capacity able to effectively support the HC/RC, UNCTs and national partners in the strategic planning for, and implementation of, early recovery activities, driven by country-level support. At the field level, the country-based “Early Recovery Network” (see IASC note), is accountable for coordination, assessment, strategic planning, advocacy and resource mobilization for early recovery. Early recovery planning should be integrated into the work of existing clusters. Where there are early recovery needs not being addressed by existing clusters, *ad hoc* working groups may be set up to fill the gap.

110. As a member of the CWGER, UNICEF has been designated the lead agency for early recovery of basic social services. As such, UNICEF is responsible for ensuring that aforementioned activities are undertaken in those sectors relevant to basic social services, including Health and Nutrition, Education, Water and Sanitation and Protection services. Addressing the basic social service needs of young people and ensuring children and young people’s participation in the early recovery process, commensurate with their capacities, is an integral part of that task.

111. In post-crisis early recovery and transition situations, UNICEF staff should undertake the following activities.

- Support and engage in the planning process for recovery and reconstruction as soon as possible, while the humanitarian response is still ongoing.
- Participate in, contribute to or lead joint assessments, particularly in those sectors or clusters pertaining to basic social services, protection, and young people, as well as relevant cross-cutting themes such as HIV and AIDS, Gender and Human Rights.
- Contribute technical leadership in assessments, analysis, evidence-based advocacy, policy dialogue and allocation of resources in favour of children.
- Help to integrate perspectives and expectations of children and young people in national transition strategies and priorities, including through their meaningful participation in the preparation, implementation and monitoring of transition policies and interventions.
- Make use of and promote the human rights based approach to programming.
- Assist in the development of national policies, including PRS and SWAp's, where appropriate.
- Help build and support systems that regularly monitor, report on and publicise the situation of children and women.
- Pursue the above pro-actively with national and international partners, including International Financial Institutions.

112. Decisions on concrete actions to be supported by UNICEF during post-crisis transition should be guided by nationally developed strategies on transition situations, based on the country-specific context, availability of resources and a recent assessment of priorities. (See chapter IX of the Post-Crisis Transition strategy for suggested actions)

Integrated Missions

113. The concept of Integrated Missions has recently been adopted for UN Peace-building or Peace-keeping operations in post-crisis countries. Its primary aim is to improve the effectiveness of the UN's peace-keeping and peace-building interventions through greater coherence between its political, security, human rights, humanitarian and development interventions, ensuring their mutual reinforcement. The rationale for the integration of activities is to assist countries in making a durable transition from conflict to sustainable peace. In 2006, a revised Integrated Mission Planning Process (IMPP) was approved by the Secretary General ([insert link](#)), complemented by an Integrated Mission Guidance Note ([insert link](#)). While the full process is designed to support planning for all new missions, it is equally applicable for existing ones taking into account each mission's specific characteristics and country context.

114. The IMPP should be consistent with and supportive of other relevant planning processes undertaken or supported by the UN System at country level. Emphasis should be placed on achieving proper sequencing of planning activities, coherence in identifying needs, objectives and results, and identifying opportunities for linking planning activities. The IMPP is a collectively owned and driven process within the UN system, with consultations with key external partners and national stakeholders where appropriate.

115. The IMPP may be triggered by a number of different factors, depending on the international, regional and national response to a given crisis, including:

- Deliberations in the UN Security Council on the possibility of a UNSC-mandated peace support operation;
- A recommendation by the Peace-building Commission (PBC), or a request by a Member State or regional organization to the UN Secretary-General to consider possible options, including a peace support operation;
- The development by the PBC or Peace-building Support Office (PBSO) of an overarching strategy for UN peace-building support; and
- The negotiation or signing of a peace agreement with implications for the international community.

116. The recent establishment of the Peace-building Commission and Peace-building Support Office will affect future policy and guidance in this area. Meanwhile, UNICEF-assisted programmes in post-crisis transition situations will be guided by the tools and guidelines developed by the UNDG/ECHA Working Group on Transition, which are available on a [dedicated UNDG website](#) (also included in the Bibliography at the end of this Chapter).

Countries in Transition

117. Special considerations apply in countries which have made and continue to make clear and sustained progress in developing and using national capacities for realising the rights of children. A GNI per capita above \$ 2,895 *and* an under-five mortality rate of less than 30 per thousand trigger the phasing out of UNICEF programme assistance financed from Regular Resources. [CF/EXD/2003-24](#) provides a procedural road map for use by UNICEF offices with national partners in countries that are nearing graduation from RR assistance, including details of the essential steps in transition planning and the funding options in such situations. It also provides options for UNICEF roles in countries which have graduated from the receipt of RR programme assistance.

Multi Country Programmes

118. Modifying the exclusively country-based approach, the Executive Board in the 1980s adopted a number of global and regional objectives and approved interregional or "multi-country" funding for the resulting programmes. [Chapter 3](#) contains guidance on such programmes and emphasises that the use of such funding should be consistent with and supportive of the priorities, policies and administrative structures of the participating countries, as well as the policies of the Executive Board and the focus areas of the MTSP.

Section 3. The Basic Cooperation Agreement (BCA)

119. The Basic Cooperation Agreement (BCA) constitutes the legal basis for UNICEF's presence in a country, its programme cooperation, the procedures of programming, and UNICEF's right to observe all phases of the programme. It also establishes the Country Programme Action Plan (CPAP) as the key jointly agreed document on programme cooperation for a specific period. The parts of the standard "Basic Cooperation Agreement between the United Nations Children's Fund and the Government" ([BCA](#)) that have a direct bearing on the Country Programme are outlined below.

120. The Executive Director is responsible for negotiating the BCA with governments of countries requesting UNICEF cooperation. A model text is used, which has been modified over time in close cooperation with the Office of Legal Affairs of the United Nations Secretariat. This text reflects similar agreements of other United Nations organisations, such as UNDP and UNHCR. The latest "[standard text](#)" is available on the Intranet. It may be modified within certain limits to satisfy the legal and governmental structure of the requesting country or because of other special circumstances. Any modifications require the approval of the UN Office of Legal Affairs. Where countries are using older BCAs of which many provisions are out of date, negotiating and signing the revised BCA is a high priority.

121. The agreement is made with the ministry responsible for overall programme coordination. As UNICEF cooperation has a strong inter-sectoral character, BCAs are typically signed with a ministry not involved directly in individual sectoral operations, but which is in a position to coordinate among various ministries (e.g. Office of the President, Ministry of Planning, Finance or External Affairs). The Executive Director may delegate the authority to sign the BCA to the Regional Director, the Representative or the Area Representative.

122. The following six points are considered essential issues for programming and should be covered in any form of the BCA.

- There should be a formal request from the responsible government Ministry each time a recommendation for a future CP is made to the Executive Board. This should be received before the revised [Country Programme Document](#) is posted on the UNICEF website, by August of the year preceding the start of a new programme of cooperation. The Government Request can refer to the obligations that the country will undertake, and the areas that it requests UNICEF to support for the time period ahead (see [Chapter 3, Section 2](#), for suggested text).
- Following confirmation by UNICEF HQ that the Country Programme Document is approved by the Executive Board, the responsible government ministry and UNICEF will sign a [Country Programme Action Plan \(CPAP\)](#). The roles and participation of other organisations in the programme should also be indicated. At appropriate times UNICEF will also sign a [Project Cooperation Agreement \(PCA\)](#), [Small Scale Funding Agreement \(SSFA\)](#) or [Memorandum of Understanding \(MoU\)](#) with each implementing non-government organisation. The plans that form part of such agreements must be consistent with the CPAP.
- The government agrees that UNICEF supplies will enter the country duty-free. It is very important to have an operative formal agreement on this point.

- The BCA provides that UNICEF may maintain an office or offices in the country, and usually contains clauses about the provision of land or buildings, and in some cases, a national contribution to the office's local expenses. Reference to the signing of the UN Convention of Privileges and Immunities assures its protection for local and international UNICEF staff.
- The BCA provides that UNICEF may assign authorised officers to visit or be stationed in the country for consultation and cooperation with the appropriate government officials about programme preparation and review, and the receipt, and use of the supplies and equipment furnished by UNICEF. The government agrees to permit UNICEF officers to observe the implementation of the programme. The point at which supplies become government property (which may be important for vehicles and other large items of equipment) is usually specified in the CPAP rather than the BCA.
- UNICEF requires access to progress reports and records for monitoring and evaluation of programmes to which it provides support. Instead of providing that "the government will furnish" these to UNICEF, it is more useful to both parties to require the operating authority to furnish reports both to the supervising government ministry and to UNICEF. It must be permissible to publish progress reports and the results of evaluations (i.e. findings and recommendations) in order that UNICEF report in turn to the Executive Board and funding partners.

123. While it is desirable to have a formal government request for assistance in emergency situations, UNICEF can act without this in a government-declared emergency, according to [General Assembly Resolution 46/182](#) of December 1991. Especially in complex emergencies, UNICEF may have to work with "Non-State Entities" (NSEs) to negotiate access to deliver assistance and to protect children and women in situations of armed conflict. Furthermore, UNICEF partners are likely to include a wider range of non-governmental entities in a complex emergency than in stable environments, including international NGOs, national CSOs and a range of UN agencies.

124. Engagement of UNICEF with Non-State Entities is sometimes necessary to advocate for the rights of children and women affected by armed conflict. The decision to engage with a NSE usually takes place as part of an interagency response, and does not imply political recognition. The UN Manual, "[Humanitarian Negotiations with Armed Groups](#)", published by OCHA in January 2006 is now available as guidance. Any engagement with NSEs must observe the [humanitarian principles](#), including the principle of neutrality (not to take sides in a conflict) and impartiality (provision of relief to *all* who are suffering). In addition to the UN Manual, UNICEF has developed a training module on improving negotiation skills with NSE. Reference should also be made to the [Growing the Sheltering Tree](#) (see list of readings).

125. UNICEF's advocacy role is confirmed by the UNICEF [Mission Statement](#), adopted by the Executive Board in 1996: "*UNICEF is mandated by the United Nations General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential*".

PQAA Checklist – Operations Framework

- Does analytical work contribute to increasing consensus among partners on development priorities and on how to promote and protect children's and women's rights?
- Is analytical work done using a Human rights-based approach, including significant involvement of right-holders, and does it draw upon the views of children and women?
- Does analytical work identify the key actors or “duty-bearers” (at national, sub-national, community and family level) for addressing the main problems?
- Rather than describing averages, does analytical work identify those groups with the poorest social indicators?
- Does analytical work probe into gender inequalities?
- Does analytical work contribute to the review of the legislative framework and/or legislative reform?
- Is the likelihood of a crisis or natural disaster and who is likely to be affected, adequately considered in analytical work, and has a vulnerability/capacity analysis been conducted?
- Do CP goals, planned results and strategies reflect the organizational focus on support to the respect, protection and fulfilment of children's and women's rights, the focus areas and key results of the MTSP as appropriate to the country situation and national priorities, and the priority focus on the most marginalized children?
- Are the strategies for the achievement of objectives and the design of programmes consistent with human rights principles, and do they consider the most recent information and analysis of factors affecting the realization of children's and women's rights?
- Does the Country Programme explicitly take into consideration the observations and the recommendations of the Committee on the Rights of the Child and the CEDAW Committee?
- How is the CP contributing to building development of rights holders and duty bearers, at all key levels, to respect, protect and fulfil the rights of children and women?
- Have the BCA and the Country Programme Action Plan (CPAP) been signed by the Government and UNICEF?
- In case of a prolonged and complex emergency, has consideration been given to a long-term rehabilitation strategy that lends overall direction to UNICEF's humanitarian response within the context of a UN system-wide effort?
- Does the Country Programme support government to monitor and assess, on an on-going basis, a basket of essential commodities for children's rights with emphasis on those children and families identified as insecure?
- As part of MTSP implementation, has the Country Office identified areas where substantive gaps exist concerning the essential commodities required for the achievement of the relevant MDGs and children's rights?

References and Recommended Reading – Operations Framework

- First Call for Children (includes the [Convention on the Rights of the Child](#) and the [World Declaration and Plan of Action from the World Summit for Children](#))
- Executive Board Decision 1996/1: UNICEF's [Mission Statement](#)
- [The Millennium Declaration](#)
- A World Fit For Children, [WFFC Declaration and Plan of Action](#),
- [Agenda 2](#), documents on the UNDG website related to the strengthening of Human Rights by the UN system
- [E/ICEF/2004/14](#): “The Updated Humanitarian Priorities of UNICEF”
- [E/ICEF/2001/13](#), “Medium-term strategic plan for the period 2002-2005”
- [E/ICEF/2001/10](#), “UNICEF Experience with Sector-wide Approaches and Sector Development Programmes”
- [E/ICEF/1999/11](#), “Programme Cooperation for Children and Women from a Human Rights Perspective”
- [E/ICEF/1997/7](#), “Children And Women In Emergencies: Strategic Priorities And Operational Concerns For UNICEF”
- [E/ICEF/Org./Rev. 3](#), “The Organization of UNICEF” (1998) (to be updated)
- [CF/EXD/2004-015](#), Revised Core Commitments for Children
- [CF/EXD/2004-012](#), In Kind Assistance
- [CF/EXD/2003-024](#), Guidelines for UNICEF in Countries in Transition
- [CF/EXD/2003-015](#), Secretary General's report on the Follow up to the Special Session on Children
- [CF/EXD/2002-027](#), UNICEF's unique strength in achieving the MDGs
- [CF/EXD/2002-019](#), UNICEF Role in supporting National and Regional Follow-Up to the Special Session on Children (SSC)
- [CF/EXD/2002-016](#), UNICEF's Priorities for Children: The MTSP
- [CF/EXD/2002-008](#), The MTSP and UNICEF Programming
- [CF/EXD/2002-003](#), Changes to the Country Programming Process and Implications for UNICEF Offices
- [CF/EXD/2002-002](#), Implementation of the Medium-Term Strategic Plan 2002 – 2005
- [CF/EXD/2001-013](#), Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2000-003](#), Procurement Services
- [CF/EXD/1998-004](#), Guidelines for Human Rights Based Approach to Programming
- [CF/EXD/IC/1995-009](#) Basic Cooperation Agreement
- [CF/EXD/MEM/2005-12](#), Final Report of the Task Force on Leveraging Resources and Results for Children
- [CF/EXD/MEM/2002-005](#), Country Assessments of Essential Commodities
- [CF/PD/PRO/2004-03](#), UN Development Group "Guidance Note on Joint Programming": A Guide for UNICEF Staff
- [CF/PD/PRO/2000-06](#) National Execution
- [PRSP Resource Package](#) on the UNICEF Intranet
- Standard [BCA](#) text, 1999
- UNDG Guidance Note on [UN Country Team engagement in PRSPs](#), 2004.
- UNDG Guidance Note on [Joint Programming](#), 2004

- [Human Rights Principles for Programming Core Course](#)
- [The Human Rights Based Approach to Development Cooperation: Towards a Common Understanding Among the UN Agencies](#) (the “Stamford Consensus”)
- UNICEF [Webpage](#) on the Human Rights Based Approach to Programming
- Implementation Handbook for the CRC
- The [Reporting Process](#) to the Committee on the Rights of the Child: A UNICEF Resource Guide
- [Human Development Report 2000](#)
- [Beijing+5](#), Women 2000: Gender equality, development and peace for the 21st century, Special Session of the General Assembly, 5-9 June 2000
- [Fourth World Conference on Women](#), Platform for Action
- [Sphereproject.org](#), Including the Humanitarian Charter and Minimum Standards in Disaster Response. Provides access to the Sphere Handbook
- [Growing the Sheltering Tree](#), by the IASC, published by UNICEF. Sets of methods to promote respect for fundamental rights and human dignity for civilians living in zones of conflict or under oppressive regimes.
- [Report of the UNDG/ECHA working group on Transition Issues](#), on UNDG.org
- [Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations](#), on UNDG.org
- [Inter-agency Framework for Conflict Analysis in Transition Situations](#), on UNDG.org
- [Integrating prevention of armed conflict into CCA/UNDAF](#) (Draft Guidance Note)
- [Interim Guidance on Transitional Appeals](#), on UNDG.org.
- Humanitarian Negotiations with Armed Group, a manual for practitioners. UN Manual published by OCHA, January 2006. Contact (bessler@un.org)
- Programme Guidance: Supporting the realisation of children’s rights through a rights-based approach to legislative reform (Draft Guidance)
- Handbook on Legislative Reform in Favour of Children (Draft)

Chapter 3. PROGRAMME PREPARATION

Section 1. The Country Programme Cycle

1. The UNICEF Country Programme (CP) cycle involves three main stages: preparation, implementation and evaluation, which are described here and in Chapters 4 and 5, respectively. Figure 3.1 shows the sequencing of various programming milestones and documents.
2. UN agencies have harmonized the country programming process. *Joint programming* is the collective effort through which the UN organizations and national partners work together to prepare, implement, monitor and evaluate the activities aimed at effectively and efficiently achieving the Millennium Development Goals (MDGs) and other international commitments arising from UN conferences, summits, conventions and human rights instruments. Through joint programming, common results and modalities for supporting programme implementation are identified.
3. It is the norm that programme cycles of UN agencies are synchronized with each other and, wherever possible, with the national planning cycle. The length of a particular programme cycle may vary from the standard five years, particularly in countries where UN assisted programmes still need to be synchronized with those of Government. CPs with lengths of less than three years are considered to be of "short duration". However, to reduce the overall workload, full-length cycles (usually five, possibly up to seven years) are encouraged wherever possible. Full-length cycles may also be applied in situations of chronic instability or prolonged emergencies. In such cases, particular attention should be paid to emergency preparedness measures, and full use should be made of existing mechanisms for formal review and adjustment of programme design within the overall CP framework ([see Chapter 4, Section 1](#)).
4. *Programme Preparation* is based on an agreement on the priority issues related to the realization of children's and women's rights, and on the analysis of the immediate, underlying and basic causes of those priority issues. A good assessment and sound analysis are the prerequisites to the identification of key development challenges, to the setting of specific achievable results to be obtained through development cooperation, and to making the best use of limited resources. Research and data are accumulated over time; assessment and analysis are ongoing processes and are major contributions to national knowledge about children's rights. Country analytical work should be built into and supported by the Country Programme itself ([see Chapter 2, Section 2](#)). Topics to be examined should include those related to the focus areas and key results of the UNICEF MTSP. A summary of the latest analytical work on children is a critical input into the [Common Country Assessment \(CCA\)](#), prepared jointly by the UN agencies and government as the first formal step in CP preparation. UNICEF also contributes by adding the results of global experience and scientific evidence and by relating the present situation of children and women and relevant national goals to international standards, agreements and conventions, such as the CRC, its two Optional Protocols, and CEDAW. At the CCA, CHAP/CAP (in case of emergency) and Needs Assessment (in case of transition) stage, UNICEF identifies priorities that could best be pursued jointly and initiate discussions with the relevant Agencies so that these can be reflected in the CCA as potential areas for Joint Programmes, based on lessons learned and evaluation results.

5. Next, UN agencies, government and other agencies achieve consensus on priority issues for development cooperation, and on a broad distribution of roles and responsibilities. In preparing the [United Nations Development Assistance Framework \(UNDAF\)](#) and UNDAF Results Matrix, agencies identify their specific role and major expected UN outcomes and consider what others are doing or are planning to do. The UNDAF describes how the sum of agencies' contributions helps to achieve common strategic results. The UNDAF also includes a Monitoring and Evaluation Plan focusing on UNDAF outcomes, related CP outcomes, and major outputs.

6. Based on the CCA and UNDAF, the Government and the Country Office develop an overall strategy for the UNICEF assisted Programme of Cooperation, which is summarized in the draft [Country Programme Document \(CPD\)](#). The broad strategy, together with those proposed for programmes supported by other UN agencies, is reviewed with Government at a [Joint Strategy Meeting](#). The draft CPD together with a Summary Results Matrix is then submitted to the UNICEF Executive Board, for comments and approval of the aggregate budget. The proposed Programme of Cooperation is approved once the CPD and its results matrix have been revised as necessary.

7. To complete the preparation of the CP, the Country Office and national partners prepare the [Country Programme Action Plan \(CPAP\)](#). The CPAP constitutes the formal agreement between UNICEF and Government on the Programme of Cooperation. It sets out the expected multi-year results of the cooperation, strategies, the programme structure, the distribution of required resources and the commitments from the main partners. The CPAP may be peer-reviewed with other UN partners at a second internal strategy meeting. It may be developed as a joint document with other UN agencies participating in the UNDAF (normally with UNDP, UNFPA, WFP and possibly others).

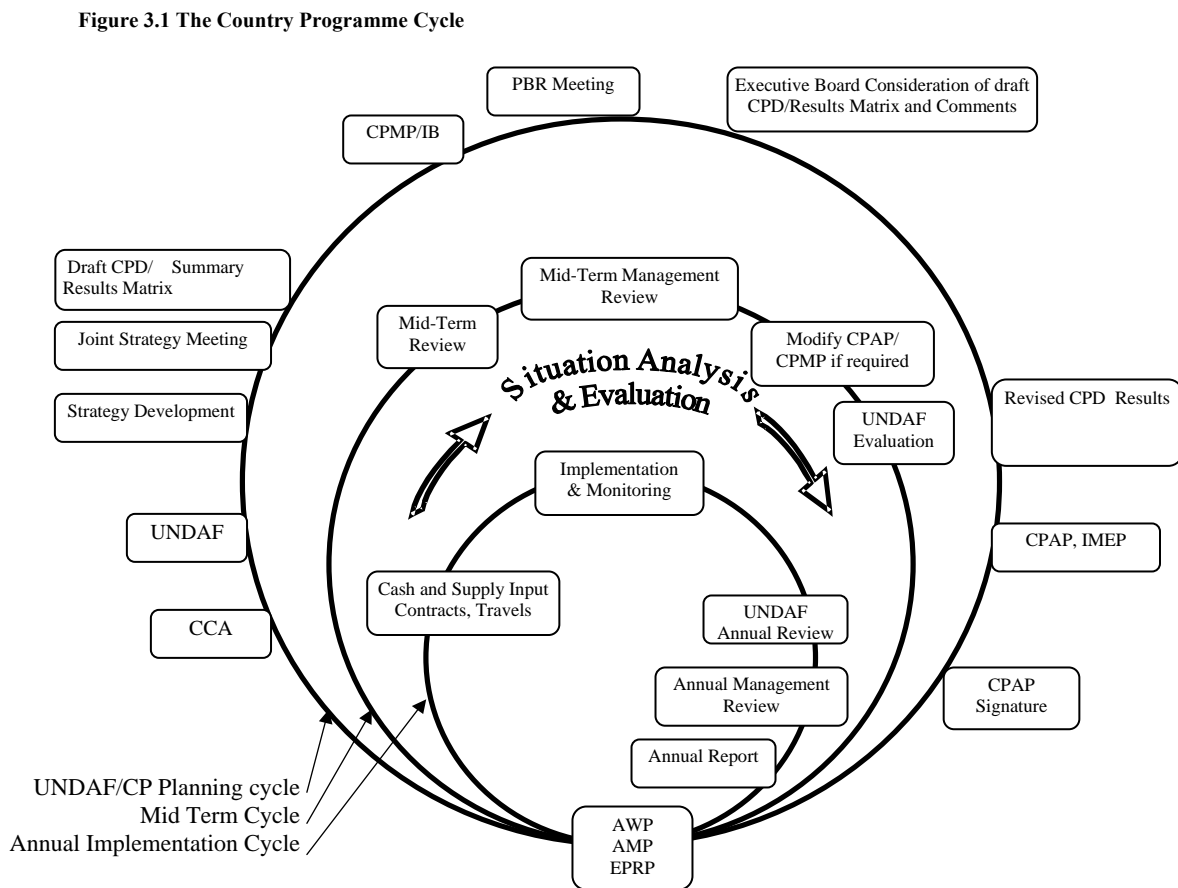
8. The Country Office supports *programme implementation*, through developing Annual Work Plans with government and other key programme partners. Annual Work Plans are the basis for the provision of technical, financial, informational and material assistance and advocacy. As with programme planning, UNICEF support should be empowering for those working for and with children and women. Resource mobilisation in favour of children, both from external funding partners as well as through participation in national planning processes, is an essential component of UNICEF's support. Systematic monitoring provides the information for reporting to the Executive Board on results from UNICEF cooperation and any changes in the programme necessitated by the changing programme environment. The UNICEF Programme Manager System (ProMS) assists in budget planning, disbursements and programme monitoring based on the [Annual Work Plans \(AWPs\)](#).

9. *Evaluation* establishes how well programmes or AWPs are being implemented, what results are being achieved for children and how relevant programmes are to the situation of children's and women's rights, to national priorities, to international standards and to organisational policy. Evaluation generates feedback for improving the programme design, helps to learn from experience, and helps to account for the use of resources. Evaluative activities take place throughout the CP duration, are planned for during programme preparation, and are summarized in a multi-year [Integrated Monitoring and Evaluation Plan \(IMEP\)](#) included in the CPAP.

10. *Joint Programming* implies intensive collaboration and consultation in all aspects and steps of programme preparation and support. Where two or more agencies not only support the same multi-year outcomes as described in the UNDAF, but have the same implementing partners and geographical focus, and where progress of activities supported by one agency is contingent on progress of activities supported by another agency, they may extend their coordination to the level of annual activity planning. These agencies may then decide to combine their support to activities into one common AWP and agree on the choice of fund management options. This is referred to as a Joint Programme or Project (see [CF/PD/PRO/2004-03](#)).

11. During a sudden emergency, and prolonged situations of instability, the same key concepts and steps in the programme cycle are maintained. Programme planning may lead to less detailed programme plans than under stable conditions. However, planning should be no less rigorous and should be just as strategic and well-founded. Therefore, a [vulnerability/capacity analysis](#) (see chapter 6) should be part of programme preparation, and it is essential to frequently re-assess the situation of children and women. In complex emergencies, this is usually done jointly with other agencies. The [Consolidated Appeal Process \(CAP\)](#) provides an opportunity to synchronize UNICEF programmes of assistance with those of other agencies and to decide on a distribution of roles and responsibilities. Emergency preparedness should be integrated in each step of the programming process, and offices are expected to include an updated, practical [Emergency Preparedness and Response Plan \(EPRP\)](#) in their Annual Management Plans.

Figure 3.1 illustrates the key elements of the UNICEF Country Programme approach.



Section 2. The Country Programme Preparation: Process and Documentation

Overview

12. The preparation of new Country Programmes is initiated by the proposal of the UN Country Team to begin or continue supporting a country in realizing the commitments related to the Millennium Declaration and the MDGs, and in respect to Human Rights Treaties, conventions, summit declarations and international conferences. Programme preparation by UN agencies is undertaken jointly with concerned ministries, civil society organizations (CSOs), donors and other partners. The preparation of a UNICEF-assisted Country Programme follows a sequence of steps, most of which are common to other UNDG Executive Committee agencies. The steps are described in more detail in subsequent paragraphs.

<i>Programming Steps</i>	<i>Formalized through:</i>
Organize programme preparation work.	Formulation by the UN Country Team (UNCT) and Government of a work plan for preparation of new Country Programmes.
Agree on the key development challenges.	Preparation of a Common Country Assessment (CCA) by the UNCT and Government.
Agree on common planned results and division of labour.	Preparation by the UNCT of a UN Development Assistance Framework (UNDAF).
Agree on main programme strategies.	Preparation, with programme partners, of strategies for the proposed Country Programmes. The strategies are discussed and agreed with government and key programme partners at the Joint Strategy Meeting.
Secure resources for the proposed country programmes.	Preparation of the draft Country Programme Document (CPD) and Summary Results Matrix, which reflects the agreed strategy. After clearance by the Regional Director, the draft UNICEF CPD and Summary Results Matrix is presented to the UNICEF Executive Board for consideration, comments and approval of the aggregate budget.
Organize UNICEF's own office, resources and management arrangements.	Preparation by the Country Office of the Country Programme Management Plan and Integrated Budget (CPMP/IB), which outline the human and financial resources required for effective UNICEF support to the Country Programme. The CPMP and IB are reviewed and approved, with comments, during the UNICEF internal Programme Budget Review (PBR) meeting, held at the regional level.
Prepare and sign the agreement on the new country programme with government.	Together with government, and taking into account the comments of the Executive Board, the CPD and the details of the Country Programme Action Plan (CPAP) are finalized. The CPAP also includes the Integrated Monitoring and Evaluation Plan (IMEP).
	The revised CPD and revised Summary Results Matrix are posted on the UNICEF Website. Unless at least five members of the Executive Board wish to discuss again the proposed Country Programme, the Programme will be approved. On the advice of UNICEF HQ the CPAP can be signed by the UNICEF Representative and the host Government.

13. The Mid Term Review of the Country Programme, usually conducted in the second half of the third year of the programme cycle, is one of the major evaluative points of the Country Programme. It may be carried out in conjunction with, or as a specific part of, an UNDAF

evaluation. Findings from latest research and lessons learned resulting from reviews, especially the MTR, will directly feed into the next CCA and UNDAF, and the next UNICEF-assisted Country Programme.

14. Table 3.1 illustrates the documentation and typical schedule for the preparation of a new Country Programme. Timings are somewhat flexible in practice, except for those related to Executive Board submission deadlines.

Table 3.1 Illustrative Standard 5-year Country Programme Preparation Timeline												
Yellow: Process	Red: Meeting					Blue: Document						
YEAR 3	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
MTR Preparation, Meeting, Report							x	x	x	x	x	
Annual Report												x
YEAR 4	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
UNDAF Evaluation	x	x	x									
MTR Report to Executive Board									x			
CPP Work plan prepared by UNCT					x							
CCA Preparation/Update and Report						x	x	x	x	x		
UNDAF Preparation and Report									x	x	x	x
UNDAF Annual Review											x	
Annual Report												x
YEAR 5	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Strategy Preparation	x	x										
Joint Strategy Meeting (w/ UNDAF Results Matrix)		x	x									
Draft CPD/Results Matrix and clearance by RD			x	x								
CPMP/IB Preparation			x	x	x							
TRT/PBR Meeting					x	x						
CPD Comments by Ex. Board						x						
CPD revision /CPAP							x	x	x			
Signature of CPAP												x
UNDAF Annual Review											x	
Annual Report												x

Notes on Table 3.1:

- If the MTR is held in the last quarter of the year, the year-3 technical level UNDAF Annual Reviews usually form part of the Mid Term Review (see [Chapter 4](#)). However, programme partners will still need to hold their annual planning meetings to agree on the substance of their Annual Work Plans (AWPs).
- In situations where the preparation of the CCA has been delayed, Country Offices should ensure that the latest summary of assessments and analytical work on the situation of children and women is compiled in time for the Country Programme Preparation.
- Established documentation and text should be used in subsequent documentation for both economy and consistency – in particular, the revised CPD text provides the basis for the country-specific sections of the CPAP.
- In exceptional cases (e.g. due to a major disaster) and where agreed between the UNDG Executive Agency Representatives and the Regional Directors, the CPD might be submitted to the September Session of the Executive Board. Preceding Country Programme milestones then take place 3 months later than indicated.

15. Central to programme preparation is the interaction with country officials, other members of the UN country team, resource persons and other partners, to achieve consensus on priority actions to be supported by UNICEF cooperation. Programme preparation in itself is an excellent opportunity to strengthen support for children's and women's rights, to encourage increased resource allocation for children, and to advocate for policy reform and legislation favourable to children and women. A CSO reference group, which will provide input into documents and critical decision points, can facilitate systematic participation of CSO partners. National CSO alliances for children's rights and organizations of women, young people and children would be an obvious choice.

16. The following sections provide details of the key elements of programme preparation, indicating for each their purpose, the process leading to its completion, and the necessary documentation.

Country Programme Preparation Work plan

17. The UN Country Team, in consultation with the Government, the inter-agency regional peer support group, and other major development partners, prepares a work plan for the preparation of CCA, UNDAF, and subsequent CPs. Guidelines for the UNCT on work plan preparation are included in the [CCA/UNDAF guidelines](#). A draft work plan should be proposed to government well in advance, to avoid conflicting schedules and to get maximum commitment. Work plan preparation may take one month. The UNICEF Country Office should consult with the Regional Office on the portion directly related to the UNICEF-assisted CP. Regional Offices are expected to exercise their oversight role, to ensure that work plans have been developed, and are complete and realistic. Budgetary resources and needed staff time for CP preparation should be reflected in the Annual Work Plans (AWPs) and the Annual Management Plan (AMP).

18. In countries, where no CCA or UNDAF is being prepared, a work plan should be prepared by the UNICEF Country Office, identifying the steps and calendar for the CP preparation.

19. A good CPP work plan indicates milestones and assigns responsibilities for the various outputs of the preparation process. It clearly describes the expected contributions from Government and other partners, to help counterparts assign the necessary staff and ensure their availability. Expected participation (including comments, advice and country visits) from the regional peer support group, the UNICEF Regional Office, other Country Offices or HQ should also be highlighted. Co-ordination mechanisms (for instance to co-ordinate the contributions from different ministries) should be identified. A good work plan is equivalent to detailed Terms of Reference for those involved in the process.

20. The work plan should reflect the established deadlines for submissions of documents to the RO, HQ, the Executive Boards and government, and take account the time needed for review and clarifications. For instance, the regional peer support groups normally require at least 2 weeks for commenting on a draft CCA or UNDAF. Government may require, with good reason, that documents to be discussed at the Joint Strategy Meeting are distributed several days prior to the meeting. Government clearing processes and possible downtimes (e.g. due to holidays) should be kept in mind.

21. A good work plan will propose the key issues to be discussed during CP preparation. Being a major consultative process, it will require the establishment of temporary task forces or working groups. The creation of inter-ministerial teams during the strategy development may often be the basis for improved collaboration among those ministries during programme implementation. It may be a good idea to suggest a steering committee chaired by the co-ordinating ministry, with high-level decision-makers from each participating agency or ministry. The steering committee would approve the overall work plan, and oversee the work in progress.

Common Country Assessment (CCA)

22. The purpose of the [Common Country Assessment \(CCA\)](#) is to establish a common understanding of the main development challenges facing the host country and their underlying causes. It identifies key issues as a basis for advocacy, policy dialogue and preparation of the United Nations Development Assistance Framework (UNDAF). The CCA constitutes the first formal step in the preparation of a new Country Programme. It is developed by the United Nations System, together with government and key partners from civil society, the donor community and multi-lateral financing institutions. Guidelines for preparation of the CCA, including [quality checklists](#) for self-assessment by the Country Teams, are available on the UNDG website (www.undg.org). Inter-agency regional peer support groups are available to provide assistance.

23. The preparation of a CCA usually takes around four months, and begins in the middle of the fourth year (of a five year CP cycle) at the latest. During CCA preparation, the UNCT will also commission a review of existing assessments by other development partners of the country's public financial management systems. The findings of the review will be summarized in the CCA and inform the choice of resource transfer modalities and procedures to be applied during programme implementation.

24. UNICEF Country Offices fully participate in the CCA process and contribute to the good quality and timely completion of the document. UN agencies are expected to work in a complementary and mutually reinforcing manner, and UNICEF participation must ensure that key issues affecting children's and women's rights, including the focus areas of the UNICEF MTSP, are adequately and appropriately covered. UN agencies have developed a [common understanding](#) of a Human Rights based Approach. Therefore UNICEF is often expected to contribute expertise in developing a causal analysis of the main development challenges, to ensure a human rights based approach to the CCA, and attention to gender issues.

25. A vulnerability/capacity analysis is part of CCA and programme preparation, and will assist the UN Country team to:

- identify interventions that will militate against the occurrence of the emergency or will mitigate its effects, particularly among children and women;
- identify, together with government, strategies to strengthen the ability of vulnerable populations to cope with possible natural or complex emergencies;
- identify and monitor a set of early warning indicators;
- help develop national or local contingency or preparedness plans to facilitate a rapid response by the Government (including local authorities) and the UNICEF office in the

case of an emergency, keeping in mind the Core Commitments for Children. Chapter 6 provides more details on how to conduct such a [vulnerability/capacity analysis](#).

26. The CCA does not, however, substitute for ongoing analytical work on the situation of children and women, and the preparation of an updated Situation Analysis of children and women at a suitable time within the programme cycle. UNICEF-supported country analytical work remains an important contribution to national knowledge, often probing deeply into selected children and women's rights issues and examining specific causalities. In contrast, the CCA ensures that due attention is given to children and women within the overall development and human rights context.

27. In some cases, analytical work prepared by other agencies (such as that developed for a PRS) may cover most relevant issues, and a full CCA may not need to be prepared. However, UNICEF and the UNCT should help ensure that all relevant concerns are dealt with (including those related to a Human Rights approach, gender, marginalized groups, and to the situation of children and women in general, as well as concerns raised by the CRC and CEDAW committees), and possibly prepare a shorter CCA document discussing these concerns.

Even where no CCA is formally required, it is desirable to have a broad inter-agency agreement on the country's main development challenges and their major causes.

United Nations Development Assistance Framework (UNDAF)

28. The purpose of the [UNDAF](#) is to achieve agreement among UN agencies and with the host Government on the thrust and goals of development assistance provided by the UN System, and to increase the impact of the work of the UN for human rights and human development through:

- Improved focus and results orientation;
- Stronger unity of purpose and team spirit among the UN agencies;
- Better integration of the normative and operational aspects of development cooperation to support national priorities, within the context of UN conventions and summits;
- Stronger alliances and partnerships with other members of the development community;
- More efficient use of resources.

Even where no UNDAF is formally required, it is always necessary to agree with UN and other partners on common outcomes and the distribution of work.

29. The UNDAF is the *strategic planning framework* for UN agencies at the country level, and gives direction for the preparation of mutually-complementary individual Country Programmes. It usually covers five years. Any proposed variation from the standard 5-year cycle should be reviewed with the Regional Directors. It spells out common goals and strategies of UN cooperation, indicative resource requirements, and arrangements for review and evaluation of the UNDAF. The UNDAF explains the strategic role and contribution of UNICEF and the UNICEF-assisted Country Programme to realising the rights of children and women in the wider context of international cooperation. The UNDAF Results Matrix describes the results to be collaboratively achieved through the contributions of the individual UN agency Country Programmes, and the indicative resources to be made available. The UNDAF Results Matrix may provide first indications where [Joint Programmes or Projects](#) might add value and indicates opportunities for participation of non-resident agencies. The UNDAF M&E Plan is then developed, following from the UNDAF Results Matrix, though it usually needs to be refined once the CPAPs are finalized.

Guidelines for preparation of the UNDAF, including [quality checklists](#) for self-assessment by the Country Teams, are available on the UNDG website (www.undg.org).

30. The substance of the UNDAF addresses the key findings of the CCA, in particular those relating to national needs and priorities; human rights treaties (including harmonisation of national legislation with the CRC and CEDAW); declarations (including the Millennium Declaration and MDGs and the UN Special Session on Children); country level follow-up to UN conferences and lessons learnt from development cooperation; and cross-cutting issues, including mainstreaming of gender and children's rights.

31. The preparation of the UNDAF is managed by the UN Country Team and national partners, under the leadership of the UN Resident Coordinator. Inter-agency regional peer support groups are available to assist. UNDAF preparation takes at least two months, and should be completed by December of year four of the programme cycle. The UNDAF Results Matrix should be available for the [Joint Strategy Meeting](#), which takes place around late February of the final year.

32. UNICEF Country Offices must fully participate in UNDAF preparation:

- The UNDAF describes the broad areas that UNICEF is expected to contribute to through the Country Programme. The subsequent UNICEF CP reflects some of the UNDAF priorities and outcomes.
- By increasing the emphasis in UNDAF to outcomes and strategies related to children and women, including human rights based approaches, Country Offices will encourage other agencies and partners to contribute more effectively to the fulfilment of children's and women's rights.

Country Programme Strategy Development

33. Following the finalization of CCA and UNDAF, the Government and the Country Office will, in close collaboration with other UN agencies, CSOs and funding partners develop the strategy for the new UNICEF-assisted Country Programme. The proposed strategy is discussed and agreed, together with the strategies for Country Programmes proposed by other UN agencies, by high-level participants from Government, other UN agencies, the Regional and Country Office, other key programme partners, and donors at the Joint Strategy Meeting.

34. The CP strategy is best presented in a document that follows the outline of the Country Programme Document (CPD), and can therefore be considered the zero-draft of the same. In a concise and analytical way, but possibly with more detail than the CPD itself, it sets out the Focus Areas for UNICEF cooperation, the problems to be addressed, and the draft key results to be achieved through programme cooperation. It is recommended that the main information required for the draft CPD is already included (for instance, refer to [PRO/2006-09](#)). The strategy should discuss:

- A summary based on the Common Country Assessment, and the most recent relevant analytical work, including evaluations, of the major problems and factors that affect the realization of the rights of children and women. This section should be analytical and describe the manifestations and causes for unfulfilled children's and women's rights, and the trends over the last few years. It should summarize the policy and legal environment affecting the rights of*

children and women, and recent initiatives or developments in these areas, including the national follow-up to the UNGA Special Session on Children. Major recommendations or observations by the Committee on the Rights of the Child on the most recent State Party report on the implementation of the CRC should also be mentioned, and what has been done to address those recommendations. The latest CEDAW implementation report and CEDAW Committee recommendations may also be considered, and country reports on the Millennium Development Goals. It also includes, where appropriate, a reference to the potential hazards and their implications for children and women, as identified by the [vulnerability/capacity analysis](#). Sources of key statistics should be provided.

- ii *A summary of Key Results and Lessons Learned from the current Programme of Cooperation.* A "Key Result" is an important outcome, produced, in at least a significant part, from UNICEF cooperation in the country that contributes to the sustained realization of children's and

Lessons Learned

Possibly the most important criterion for making choices during programme design is well-founded experience from the past. Strategies often continue to be replicated without their validity being confirmed through evaluation, or other methods such as participatory reviews. Therefore, if a specific strategy or programme is proposed for continuation in the next CP, it should have been formally evaluated. At the minimum, the Country Management Team and national or local partners should take stock of what worked and what did not, and concentrate resources in the most promising programme areas. (See Chapter 6, Section 18 for guidelines on preparation of lessons and good practices.)

women's rights. Key Results are stated as specifically as possible and quantified *wherever possible*, including estimates of the numbers of children and others benefiting and/or changes in policies or service coverage levels. The description of the key results should be related to the main outputs and outcomes of the original Programme of Cooperation as approved by the Executive Board or, in some cases, as modified through the Mid Term Review. No more than 2 –

4 validated key lessons or good practices should be reported. The statement should clearly indicate the contributions that have been made by other partners. This section also draws on the annual and mid-term review reports. The basis for each experience should be identified (e.g. a survey; a study; an evaluation; a series of consultations; a detailed review made during the MTR). Lessons can be drawn from failures as well as successful experience, and from the documented experience of other agencies.

- iii *Country Programme Preparation Process* - This section describes the CPP, including the CCA/UNDAF process and its implications for the design of the UNICEF-assisted Country Programme. It refers to important reviews, consultations and briefings that may have been held with national, sub-national, community-level partners or international agencies during the preparation period. Any direct involvement of children and women in the process should be outlined. Unless there have been exceptional circumstances, this section indicates the role of the Government in the leadership and management of the process, and mentions the national ministry or agency that has been the focal point or coordinator for the preparation exercise. The use of [Environmental Impact screening or assessment methods](#) (as described in Chapter 6), should be briefly mentioned, together with any significant issues arising.

- iv *An aggregate Draft Programme Budget* for the forthcoming cooperation period, with an indicative break-down of RR and OR by main programme component. The budget is indicative at this stage, prior to refinement, Programme Funding Office (PFO) agreement and

approval by the Executive Board of the CPD. The Executive Director or the Director of Programme Division will indicate the estimated levels of RR likely to be available. This does not include OR that might be received through CAPs/Emergency Appeals, which are instead mentioned in a footnote to the budget table, where relevant. A line is normally included in the RR section of the budget table, and where appropriate in the OR section, to cover "cross-sectoral costs", covering costs attributed in support of the CP as a whole (e.g. costs of staff supporting more than a single programme, staff security, etc.). It should be stated that this budget is indicative and only reflects resources expected to be provided through UNICEF. Total resource requirements are likely to be higher, and will in part be provided (often in-kind) by Government or other partners.

- v *Planned results and Strategies* and their relation to national and international priorities. This section presents the overall goals of the Country Programme and the key results (i.e. the most strategic outcomes for children and women) which are expected to be achieved through UNICEF cooperation within the UNDAF framework. The planned results are stated clearly (see [Chapter 3 Section 4](#)), with appropriate quantification.

Attributes of good strategies

Strategies for UNICEF programme cooperation are based on human rights principles and reflect approaches that:

- build commitment and capacity at different levels of society for the sustained realization of results for children's and women's rights;
- address discrimination and focus on the priority needs, rights and capacities of the most vulnerable, excluded and disadvantaged;
- are catalytic of wider outcomes, including through the building of partnerships and mobilization of resources;
- mainstream gender and recognise the fundamental relationship between women's rights and children's rights;
- where possible, address immediate, underlying and basic causes of problems in practical and cost-effective combinations of support to direct intervention, monitoring, partnerships and advocacy;
- promote participation opportunities for children and women and of relevant civil society organizations;
- integrate programming across sectors, with a focus on children as rights-holders (e.g. in early childhood);
- are innovative, and develop models for potential replication by Government and other partners;
- reflect an understanding of human behaviour and the process of socio-cultural change;
- are based on consultative and learning processes, and build national and local ownership;
- consider possible risks and the possibility of emergencies;
- are feasible in regard to technical, social, legal, financial and cultural factors.

In selecting planned key results, strategies and programme components of the CP, it should be considered that:

- Each result and programme component should clearly relate to a single Focus Area of the MTSP. No one individual programme should cut, in a significant way, across more than one Focus Area.
- More than one result and programme can relate to one single Focus Area of the MTSP.
- Not all Focus Areas of the MTSP have to be addressed through the CP – this will depend on national and UNDAF priorities, the situation of children and women and on UNICEF's agreed strategic role.

This section also explains - through analysis, not just by simply stating that a linkage exists - the relationship of the key results to the respective outcomes described in the *UNDAF Results Matrix* and to the following national priorities:

- priority issues for the realization and protection of children's and women's rights which emerged from the CCA and the most recent analytical work on the situation of children and women,;
- national development goals, priorities, and/or government initiatives, including National Development Plans, the National Plan of Action for Children, Poverty Reduction Strategies, Sector Wide Approaches and sector reforms, or current policies such as decentralization and legislative reform.

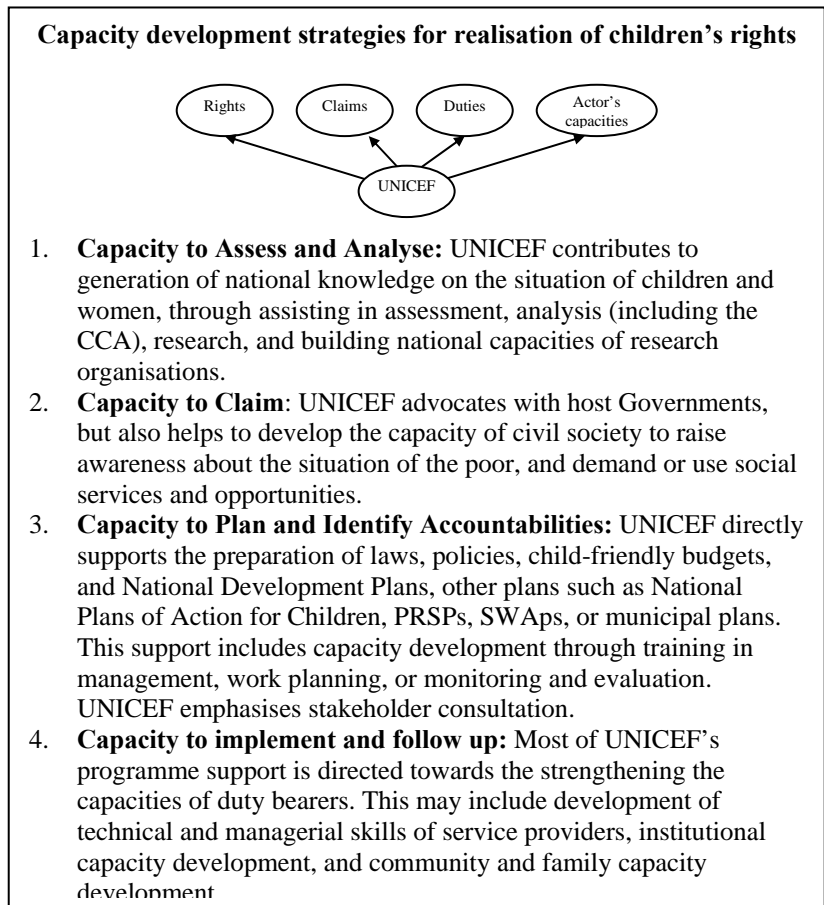
The section also explains the relationship to the main priority areas of action in the *World Fit for Children Plan of Action* and the major parts of the *Millennium*

Declaration – including the most relevant MDGs – to which the UNICEF-assisted CP will contribute, and how.

Overall, this section clearly describes why certain priority areas for children's and women's rights, among the many potential ones, have been identified for particular collaboration in both the UNDAF and the forthcoming CP. This may be based on their urgency, their strategic nature (e.g. addressing one particular problem is expected to improve the conditions for addressing another), on lessons learned, resource limitations or the comparative advantage or disadvantage of UNICEF in relation to other partners.

Where UNICEF is not seen as having a strong comparative advantage in addressing a priority area for children's and women's rights, the expected contributions from other international partners or national organizations should be mentioned. It will also be useful to summarize the issues on which UNICEF expects to concentrate its work for information-gathering, research, communication, legislative or budgetary reform and, policy-related advocacy and capacity development.

- vi *Outline of Programme Components.* This section sets out the structure of the proposed CP, and provides details on each of the main components of the CP, corresponding directly to the programme budget lines shown in the budget table. Programme titles used for the headings of



these sections should be the same as those used in the budget table. Each selected programme component should clearly related to not more than one Focus Areas of the MTSP (i.e. no single programme should cut significantly across more than one Focus Area); however, more than one programme may contribute to one MTSP area. Not all Focus Areas need to be addressed by a UNICEF-assisted programme.

Each programme outline should contain:

- A brief reference to the problem area, arising from the analysis;
- Specific results expected from the cooperation in this area, including geographic coverage and the expected numbers of children and women who will benefit, where relevant;
- The main areas of intervention and the major types of support to be provided by UNICEF (e.g. supplies, logistics, procurement services, technical or cash assistance, training, support to local research, international knowledge networking);
- The major partners, including the focal government institutions (national or sub-national), non-governmental, civil society or private sector partners;
- Programme areas that will be supported jointly with other UN agencies;
- Other national initiatives and ongoing or expected bilateral/multilateral support from international partners, such as UN agencies or the World Bank, that complement or relate to this specific programme component (e.g. an outline of any SWAp and how the support to be provided by UNICEF contributes to the wider partnerships in the sector);
- An outline of how Regular Resources allocated to the programme component will be used strategically, and how Other Resources - including where relevant the anticipated resources from emergency appeals - are expected to complement RR allocated.

When a programme includes a major supply component, a [supply and logistics counterpart assessment](#) should be undertaken, to ensure that capacity exists for the timely delivery of commodities.

Physical Construction And Rehabilitation

UNICEF does not normally provide support to construction or rehabilitation of infrastructure requiring the use of contractors or public works departments. Multilateral development banks or bilateral agencies often have better capacity to ensure quality designs and supervision of construction projects. A few exceptions to this general approach are:

- support to the development of low-cost, small or medium scale Water and Sanitation facilities for communities, health facilities or schools, particularly where UNICEF has in-country expertise and/or regional advisory capacity;
- the provision of building materials and possibly assistance to small-scale NGOs or community groups, for low-cost, durable construction or rehabilitation of basic social facilities, such as classrooms;
- in post-conflict situations, UNICEF may exceptionally provide support to larger-scale rehabilitation efforts, but only if the Country Office is able to secure the sustained involvement of sufficient personnel with the skills and experience in technical design, management, and supervision necessary to ensure the quality of such construction.

Even in these cases, UNICEF must consider whether adequate overall capacity exists, including among national partners. Country Offices should consult with Supply Division, Regional Director and Headquarters Divisions, as necessary, before proceeding with such proposals. A detailed instruction regarding construction and rehabilitation will be issued in early 2007.

vii *Analysis of Programme Partnerships* and the international cooperation context. This section describes a) the most important contributions to the planned results of the CP which will be

made by regional, international, UN national, sub-national, civil society, research institutions, NGO or private sector partners; b) how these partnerships will operate and what the respective and complementary contributions of the major agencies will be; and c) wider trends and characteristics of the overall international cooperation context which are likely to affect the realization of children's and women's rights in the country. This may include the specification of major funding partners who have already indicated support for national programmes to benefit children and women or for the Country Programme itself. Key bilateral and multilateral partnerships which are expected to be formed or continued, and which will support CP goals, are also briefly described.

viii *Country Programme Management, Monitoring and Evaluation*. This section includes a brief statement of:

- Some of the key indicators which will be used to assess progress and monitor results in relation to the major planned results for the Programme components;
- The systems, surveys or other methods (e.g. periodic field visits; community feedback mechanisms) which will provide information for tracking these key indicators and for monitoring and verifying results;
- How the evaluation function in the Country Programme and Country Office will be strategically used for improving the programme and learning lessons, and how it will be managed;
- Major evaluative activities which are planned as part of the Integrated Monitoring and Evaluation Plan (IMEP), including possibly a Country Programme Evaluation and thematic evaluations;
- The expected timing of the Mid Term Review or any other major reviews.

This section should be consistent with the major M&E activities laid out in the UNDAF M&E Plan. It also briefly indicates the main coordinating national body for the Programme of Cooperation, and of management and monitoring structures already existing or which will be established at technical, national and/or sub-national levels for the ongoing management of programme components and the overall CP by the various partners, including UNICEF.

Exploring strategic options for promoting household and child access to essential commodities.

Issues to be considered in CP strategy preparation include:
What are the commodities most essential to achieving programme results?

Are these essential commodities readily available for use by the intended population/groups?

What mix of supply strategies is most appropriate for MTSP implementation, among the options of:

- Assessing the availability and use of essential commodities in specific populations/groups;
- Advocating, with Government, civil society organizations, private sector, for increased accessibility of essential commodities to specific populations/groups;
- Support the strengthening of national and local supply management (commodity planning, procurement and use);
- Procurement Services as a part of a strategy that helps to extend the impact of national and sectoral budgets;
- Funding and supplying essential commodities for specific programme interventions.

35. The Government and CO draft the Strategy in consultation with other partners. The RO will provide comments prior to or during the Joint Strategy Meeting.

Joint Strategy Meeting

36. The [Joint Strategy Meeting](#) is held about three months before the draft CPDs are presented to the Executive Boards. In countries without harmonized programme cycles, separate Strategy Meeting may be held, though other UN agencies should be invited to participate. The Joint Strategy Meeting is the principal forum at the national level to give approval to the main priorities and broad content of the proposed Country Programmes before their submission to agencies' Boards. The main purpose of the JSM is:

- to review and validate the UNDAF Results Matrix, including identification of opportunities for further joint programmes and contribution from strategic partners including non-resident agencies of the UN system;
- for each agency to agree on the key outcomes of its programme of cooperation and its implementation strategy with government, implementing Ministries and key non-governmental partners.

Where necessary, it should be clarified that future partners to the Country Programme may include some that were either unable to attend the joint Strategy Meeting, or will be later identified, such as local authorities or CBOs.

37. The strategy – typically presented as the zero draft of the Country Programme Document - together with the UNDAF Results Matrix, are the main documents for the JSM. They are supported by the CCA, the UNDAF, results of major evaluations, recommendations from the Mid-Term Review, the UNICEF MTSP, CRC/CEDAW Committee recommendations and relevant government policies and plans as supporting documents. The strategy meeting is organized by the government and the UN agencies, coordinated by the UN Resident Coordinator. The meeting is attended by the Regional Director or his/her designate, concerned UN agencies, multilateral and bilateral agencies, UNICEF Executive Board members, government delegates and other partners as agreed between the government and UNICEF.

38. An internal meeting should be held between the CO and the Regional Director (or designate) immediately prior to or following the Joint Strategy Meeting. This meeting should identify and review any strategic management issues which arise from the proposed strategy. A note may be produced to record the outcomes of these discussions and to guide the subsequent formulation of the CPMP.

Country Programme Document (CPD)

39. Through the draft Country Programme Document (CPD) and Summary Results Matrix, the Executive Board first comments on and then approves the CP of cooperation between the government and UNICEF. The CPD provides the Executive Board with a clear statement of the priority areas and problems proposed to be addressed by UNICEF cooperation; the contributions that UNICEF assistance is expected to make through the planned results of cooperation to national and global priorities and policy frameworks; the contribution of the proposed CP to the outcomes of the UNDAF and the current UNICEF MTSP; the programme components that make up the CP, and how these choices were made; how the programme strategies will realistically lead to the

achievement of the planned results; the required RR and OR; the key partnerships; and the programme management structure, including mechanisms for monitoring and evaluation.

40. The draft CPD with Results Matrix is prepared in consultation with the Government based on the strategy (see above) agreed at the Joint Strategy Meeting, and submitted to the Regional Director for review and clearance. It is then submitted by the Regional Director through OSEB to the Executive Board for comments at the annual (June) session, and for approval of the summary budget table. In exceptional cases (e.g. to delay programme preparation due to a major disaster) the CPD may be submitted to the September Session of the Executive Board, as agreed with OSEB and the UNCT as necessary. Preceding CP milestones may then take place 3 months later than indicated.

41. The draft CPD is between 6 to 10 pages in length (including the cover page and tables). It should not exceed 4,800 words. OSEB will transmit the electronic templates and formats for the CPD to Country and Regional Offices, the requirements for the inclusion of programme statistics and budgets, and a “checklist” for internal use by the Country Office and the Regional Office.

42. The content of the Country Programme Document is standard, as follows:

- Cover Page
- Basic Data Table, with a limited number of indicators
- Summary of the Situation of Children and Women (including any recommendations and observations on State Party Reports by the Committee on the Rights of the Child and other treaty bodies)
- Key Results and Lessons Learned from Previous Cooperation
 - Key Results Achieved
 - Lessons Learned
- The Country Programme
 - Summary Budget Table
 - Preparation Process
 - Goals, Key Results and Strategies
 - Relationship to National Priorities and the UNDAF
 - Relationship to International Priorities
 - Programme Components
 - Major Partnerships
 - Monitoring, Evaluation and Programme Management.
- Annex: Summary Results Matrix (attached to the draft and revised CPD).

43. The Country Representative is responsible for ensuring that:

- a) prior to submission to the Regional Director, the data in the text and basic data table of the CPD are checked and agreed with the Strategic Information Section of the Division of Policy and Planning;
- b) all individual programmes clearly relate to a single Focus Area of the MTSP (though more than one programme may support the same Focus Area);
- c) the total RR levels in the budget of the CPD are equivalent to those in the latest PRO on indicative RR planning levels for country programmes; and
- d) clearance is obtained from the Director of the Programme Funding Office (PFO) for the proposed level of Other Resources, before the draft CPD is submitted to the Regional

Director. The Representative should also advise the Government that both the RR and OR levels shown in the CPD are planning estimates only, and will depend on the future receipt by UNICEF of total global RR and specific-purpose OR contributions. If it is expected that additional funds will be received during the Country Programme cycle from an existing or planned *Emergency Appeal/ Consolidated Appeal*, this should be indicated in a footnote to the CPD Budget Table. These funds should *not* be included in the Budget Table itself, which provides an estimate of Regular Resources and *non-emergency* Other Resources for the approval of the Board.

44. Following the June session of the Executive Board, the CPD and Results Matrix are revised with Government, taking into account the Executive Board comments, which are conveyed by the Regional Director.

45. The revised CPD including the Summary Results Matrix is reviewed and cleared by the Regional Director, submitted to OSEB and posted on the UNICEF Board Webpage in August. The revised CPD is approved by the Executive Board on a no-objection basis at the September session, unless at least 5 Executive Board members have indicated a desire to discuss the revised CPD further. If there are significant variations between the draft and revised CPDs, the rationale for making these changes should be explained when posting the revised CPD. The overall *aggregate* RR and OR amounts cannot be changed. If there are any changes *within* the budgetary allocations, these must be confirmed with the Budget Section NYHQ, and approved by the Regional Director before the final CPD is posted on intranet.

46. The Summary Results Matrix indicates the key strategic improvements to the country situation which will be attributable to the UNICEF-assisted CP. These expected key results are linked in the Matrix to the Focus Areas of the MTSP as well as to the expected outcomes of the UNDAF (as shown in the UNDAF Results Matrix), the WFFC Plan of Action and the Millennium Agenda. Progress on the key results in the Matrix will be reviewed in future MTR summary reports to the Executive Board and, in due course, in the Country Annual Report. *It is very important that the key results in the revised CPD are fully consistent with the summary statement of results in the Summary Results Matrix.*

47. Table 3.2 provides the standard format of the Summary Results Matrix. Detailed guidance on how to complete the Matrix is available in [Chapter 6, Section 9](#).

Table 3.2: Summary Results Matrix					
UNICEF MTSP Focus Area	Key results expected in this Focus Area	Key Progress Indicators	Means of Verification	Major Partners, Partnership Frameworks and Cooperation Programmes	The expected key results in this Focus Area will contribute to
					UNDAF expected outcome: WFFC goal: MDGs:
					As above
					As above
					As above

48. When submitting the revised CPD and Results Matrix, or at an earlier stage, a written Letter of Request for the proposed programme of cooperation should be obtained from Government. The request could read as follows: “*The Government of ... hereby confirms its request to the Executive Director of the United Nations Children’s Fund for a Programme of Cooperation to be assisted by UNICEF for the period 200x to 200y, on the basis of the Basic Cooperation Agreement which exists between the Government and UNICEF, and within the framework of the Country Programme Action Plan to be concluded between the two parties to cover this period.*” The Representative should ensure that copies of the letter are received by the Regional Director and the Director, PD.

49. A “Reconfirmation” PRO (e.g. [PRO/2006-09](#)) will usually be issued each year by NYHQ to advise concerned Country Offices and Regional Offices about the current arrangements for submission of the draft and revised CPD to Headquarters, as well as on any specific issues that are of interest to the Executive Board and should be elaborated in the CPDs.

50. “*Stand-Alone*” submissions for the approval of Other Resource-funded programmes or projects are usually made to the second regular session of the Executive Board. These submissions are also cleared by the Regional Director, in consultation with PD, PFO and DFAM. OSEB can advise on the format and deadlines for Stand-Alone submissions.

51. In some cases, Executive Board approval may be needed for the expenditure of Regular Resources during the programme cycle beyond the total level previously approved for that cycle. In these cases, an “omnibus” proposal may be submitted by NYHQ to the Board, on behalf of the countries which require an “RR top-up” approval. Country Offices facing such situations should contact Programme Division, NYHQ.

Joint Programmes and Projects

52. Where, during CP development or later, two or more agencies not only support the same multi-year outcomes as described in the UNDAF, but deal with the same implementing partner, have the same geographical focus, and/or where progress of activities supported by one agency is contingent on progress of activities supported by another agency, these agencies may decide to combine their support to activities into a single Annual Work Plan (AWP) to support the achievement of specific outputs. As explained in the UNDG Guidance Note on Joint Programming, a [Joint Programme or Project](#) may require the signing of a Memorandum of Understanding between the involved UN agencies, to clarify responsibilities and management arrangements. However, any Joint Programme or Project is *not in addition* to the Country Programme agreed to by the government and approved by the Executive Board, but forms a part of the same. Early identification of possible areas of joint programmes (at CCA or CHAP stages) is important, as are the involvement where appropriate of non-resident Agencies, assessment of value added for entering into such arrangements and consideration of the most appropriate mechanisms for managing, funding, monitoring and evaluation of joint programmes. Potentially, Joint Programmes can: assert promote reform in sensitive development areas, by virtue of their collective effect; catalyze development networks at multiple levels; scale-up ongoing collaborative efforts by broadening the scope of a prior project’s objectives; promote the adoption of international standards; create a platform for knowledge management and exchange; and help to

mainstream thematic priorities that are not exclusive to any one UN agency. (Hyperlink UNDG lessons learned in JPs) [CF/PD/PRO/2004-03](#) provides further details on the implications of the UNDG Guidance Note, particularly on the various fund management options and how to address issues of budgeting, accounting and reporting.

Country Programme Management Plan (CPMP) and Integrated Budget (IB)

53. The UNICEF Country Office prepares a Country Programme Management Plan (CPMP) to guide the organisation of resources and set standards and performance indicators for efficient management of the Country Programme (also see [CF/EXD/MEM/2005-05](#)). The CPMP links the country office structure and resources with the structure, budget and the Key Results of the country programme.

54. The CPMP combines the Support Budget and Programme Budget into an Integrated Budget:

- The Support Budget is allocated to Country Offices primarily to finance UNICEF’s presence in the country, and covers costs under the categories of approved core international and local posts, costs of support staff, consultants, travel, operating costs, furniture and equipment, and reimbursement and co-funding.
- The Programme Budget covers costs to support the implementation of the programmes as described in the CPD and Country Programme Action Plan. The Programme Budget is made up of allocations from UNICEF’s Regular Resources (RR), and of specific-purpose contributions from donors or funds, referred to as Other Resources (OR). The OR portion of the budget can be wholly or partially funded (when contributions have already been received), or unfunded (when contributions are still being sought). The Programme Budget provides for inputs in the form of cash, supplies and equipment, and contracts with individuals or institutions. It may also include salaries and costs of programme officers and technical assistance staff, contributions to travel expenses, vehicles or telecommunications, or any other expenses specific to the implementation of programmes. If such costs cut across several projects or programmes, they are referred to as Project and Programme Cross-Sectoral Costs respectively. See Table 3.3.

Support Budget	Programme Budget					
		Direct costs Programme 1	Direct costs Programme 2	Direct costs Programme 3	Etc...	Cross-Sectoral Costs
(RR)						
(funded OR)						
(unfunded OR)						

55. The amounts of Regular Resources allocated to countries are computed using the modified RR allocation system, as described in [E/ICEF/1997/P/L.17](#) and [Executive Board resolution 97/18](#). The RR allocation is calculated on the basis of the size of the child population, the national Under-Five Mortality Rate (U5MR), and the Gross National Product (GNP) per capita. The Executive Board also establishes ceilings for the total amount of Other Resources that UNICEF and partners plan to

seek for the Country Programme, taking into consideration previous fundraising performance and implementation rates. These ceilings do not cover additional OR that may need to be raised through Emergency Appeals, usually in the framework of a UN Consolidated Appeal (see [Resource Mobilization in Unstable Situations and during Emergencies](#), Chapter 6).

56. It is important that UNICEF clearly informs its national partners that both the RR and OR levels in the Programme Budget are indicative and dependent on global RR availability and specific-purpose OR contributions to UNICEF respectively. The CPMP itself includes a concise statement of the strategy for raising the planned OR (i.e. a “[fundraising strategy](#)”).

57. A main objective of the CPMP is to establish a match between the total amount of programme funds sought, the activities to be carried out, and the management capacity of the Country Office. Its scope encompasses all resources needed by the Country Office and the working structures to manage them. These include, but are not limited to financial and human resources, together with supplies and logistics, information and communications technology, knowledge networking and administrative services. The CPMP should also reflect any agreed arrangements for UN Common Services and office facilities. By analysing the current office resources and management structure, the CPMP provides an indication of the CO’s changing requirements for co-managing the new Country Programme. The goals and planned results of the Country Programme cannot be defined without taking into consideration the available resources and management capacities.

58. The CPMP is critically important for defining the needed capacities to advance the strategies of the CP, and the management arrangements to keep human and financial resources focused on the Key Results for children and women. The CPMP links office work plans to programme results. For instance, the CPMP would not only determine the need for an education officer, but also the specific skills and experience that the education officer needs to possess to successfully support the proposed CP strategies.

59. The CPMP also describes the measures the Country Office has undertaken, or plans to undertake to prepare for possible situations of instability and crisis. The security of UNICEF staff will be a crucial factor in such situations.

60. The preparation of the CPMP should adhere to the following basic working practices:

- the Representative is accountable for ensuring that the CPMP is prepared;
- the Country Management Team (CMT) should play a key role;
- the CPMP preparation should be participatory and seek consensus as far as possible within the office on priorities and plans for programme management, including resource allocation, the staffing structure, and key responsibilities during crisis situations as identified in the EPRP;
- The CPMP should reflect agreement between the Representative and Regional Director on how UNICEF resources should be allocated to fulfil UNICEF responsibilities within the CP, and whether adequate measures have been undertaken to prepare the office to deal with possible situations of instability and crisis;
- The CPMP should not attempt to provide details of year-by-year management objectives, activities and resource use. These form part of the Annual Management Plans.

61. As a strategic multi-year management plan, the CPMP summarises key issues. It should be limited to a maximum of 20 pages, excluding annexes, for those countries with annual RR planning levels above \$1 million, otherwise to 15 pages. For the suggested outline of the CPMP, refer to [CF/EXD/MEM/2005-05](#):

62. The Representative and senior members of the CMT present the CPMP, including the Integrated Budget, to the regional Programme and Budget Review (PBR) Committee for approval. These documents are reviewed in the context of the draft CPD. The objective of the review is to

- ascertain that the management structure is organized in the most efficient way to maximize achievement of planned results;
- ensure that programme and office management structures as well as the proposed budget are consistent with each other;
- ensure that the proposals meet the requirements of prioritization, and the support budget is within the regional envelope;
- ensure consistency of decisions on structures and posts among offices;
- ensure equity and fairness to staff in the application of policies, guidelines and use of resources;
- ensure that measures for responding to possible situations of instability and crisis have been considered;
- ascertain the feasibility of the funding strategy.

63. Based on the PBR discussion, and with any revisions as called for, the Regional Director approves the CPMP and clears the integrated budget.

The Country Programme Action Plan (CPAP)

64. Country Programme Action Plan (CPAP), or Master Plan of Operations (MPO) if before 2004, constitutes a formal agreement between the government and UNICEF, and provides the framework of each partner's responsibility during the period of the CP to achieve the jointly identified goals and planned results for children and women. The subsequent annual objectives, activities and budgets are based on what has been agreed in the CPAP. The CPAP sets out:

- (i) a brief overview of the situation of children and women, achievements and lessons from previous cooperation, the key results to be achieved and the programme strategy and programme structure as described in the CPD, and main partnerships (Part II-V of the CPAP). These parts draws on text from the Strategy Paper and the CPD.
- (ii) provisions, or operational modalities, governing the management of the UNICEF-assisted Country Programme. These include, among others, clauses harmonized among UN

Basic RBM principles:

- For each problem, develop a causality analysis
- Express Results in "change language"
- Distinguish between a strategic result (normally an ambitious change in the lives of children) and a key result (a measurable change to which the CP makes a significant contribution)
- Use a Results Chain or Results Framework to visualize the hierarchy and logic of planned results
- Ascertain that the attainment of each result can be validated (horizontal logic)
- Ascertain that the sum of the planned interventions, supported both from the CP and from partners, is sufficient to achieve the key results
- Monitor progress and planning assumptions. (see Chapter 3, Section 3 for more details)

agencies regarding the transfer of resources to implementing partners. (Part VI-X of the CPAP). For these parts, some standard text is provided in [Chapter 6, Section 4](#).

65. The CPAP should, where appropriate, take into account the comments provided by the Executive Board and any other changes reflected in the revised CPD.

66. The CPAP also includes more detailed budgets, a Results Matrix, and the multi-year Integrated Monitoring and Evaluation Plan (IMEP). However, the CPAP remains primarily a strategic document, placing the emphasis for detailed activity planning on the Annual Work Plans and UNDAF Annual Reviews. Chapter 6 provides a [template](#) for a typical CPAP, containing standard clauses and annotations to the different articles where required.

67. A [Results Framework](#) (or “objectives tree”) can be used as a way of organizing expected programme results. Logical frameworks or “LogFrames” help to identify the key planning assumptions underpinning the logic of the programme and the key indicators of progress. Use of these instruments should however be based on some degree of prior familiarization among staff in the CO, supported as necessary by special orientations and facilitation from the RO or other sources. More guidance on the Results Framework and the use of a [“logical approach”](#), in the context of results based programme planning, is contained in [Section 4](#) of this chapter. Refer to [Chapter 2, Section 1](#) on how results based planning and a Human Rights based approach to programming are directly related and complement each other.

68. It is *required* that all programme components being considered for inclusion in the Country Programme are given at least an initial screening for Environmental Impact, based on the [Initial Screening Checklist](#) contained in Chapter 6. The Regional Director should verify that this requirement has been met. If necessary, a further Environmental Impact Assessment (EIA) should be undertaken, using the checklist designed for this purpose. In exceptional cases, a formal EIA will be undertaken prior to the decision on whether to include the programme component in the CPAP. The CPAP should state that a screening for Environmental Impact indicated that all programmes and projects have no or only minor potential impacts on the environment. For all programmes with a major supply component, a [supply and logistics assessment](#) should also be undertaken (see Supply Manual).

69. The Integrated Monitoring and Evaluation Plan (IMEP) helps Country Offices and national partners to manage their monitoring, evaluation and research responsibilities vis-à-vis the CP (see [Chapter 5 and Chapter 6, Section 7](#)). The multi-year IMEP is essentially a calendar of major data collection activities (ref. Table 3.4), which forms part of the CPAP. The IMEP brings M&E planning up front with programme planning and flows from good results-based planning approaches. It is prepared with the full involvement of planning/programme officers, the M&E officer, operations staff and CO senior management. The development of the IMEP is an exercise of *prioritising* data collection needs to ensure that key decision-makers’ questions are addressed and *integrating* data collection across programme areas wherever possible to reduce costs. Preparation of the IMEP is coordinated with the preparation of M&E plans by other agencies, to again look for efficiencies in joint M&E activities, and to ensure consistency with the UNDAF M&E Plan. Development of the IMEP draws from programme LogFrames. It also frequently leads a CO to return to and revise LogFrames, simplifying and streamlining the indicators and means of verification based on feasibility and priority data and analysis needs. It is recommended to limit

the number of major data gathering activities to no more than 3-5 per year, depending on the CO and partners' capacities. The IMEP will be reviewed and amended during the annual and Mid-Term reviews. Annual IMEPs are produced in conjunction with the Annual Management Plan. See [Chapter 6, Section 6](#) for details.

Table 3.4 Format of a Multi-year Integrated Monitoring and Evaluation Plan (IMEP)

	Year 1	Year 2	Year 3	Year 4	Year 5
Major events and processes using research and M&E data					
Surveys, Studies					
Evaluations					
Monitoring Systems					
Partners' major data collection activities					
M&E Capacity development (UNICEF and partners)					
Publications (optional)					

70. The CPAP should be finalized in November before the start of the Country Programme. A final review of the CPAP is made by the Regional Director before it is signed, to ensure a) reflection of the comments of the Executive Board; b) conformity with UNICEF and UNDG guidelines on the CPAP; and c) the inclusion of mandatory clauses, the IMEP and conformity with the UNDAF. If the CPD was presented for discussion at the annual (June) session of the Executive Board, then the revised version will be posted on the UNICEF internet site no later than six weeks after the discussion and will be approved by the Board at the September session, on a no-objection basis, unless at least five members have informed the secretariat in writing before the session of their wish to bring the country programme before the Board. After approval of the CPD in September, the Secretary of the Executive Board (OSEB) will advise the Regional Director and the Representative to proceed with the signing of the CPAP. Approval of country programme for which the revised CPD was not posted within six weeks will be postponed to the January session of the Board the following year. If the CPD is presented in the September Session, it will be approved in the January Session. In this case OSEB will, towards the end of October, inform the Regional Director and Representative when the CPAP can be signed. A copy of the signed CPAP should be sent to the Regional Director and the Director, Programme Division. An electronic copy should be sent to PIMAS, PD.

71. The Country Office may use the CPAP to elaborate in greater detail the CP components and strategies, provided that they remain consistent with the text and intent of the CPD. In some cases, Country Offices and national partners may agree to prepare Programme Plans of Operations (PPOs) for each separate programme component. This is a country-level decision and is optional. A template for [PPOs](#) is included in Chapter 6.

Multi-Country Programmes (MCPs)

72. Many problems affecting the rights of children and women are similar among different countries. In some cases CPs are therefore linked to Multi-Country Programmes (MCPs). Under a MCP, large amounts of financial support can sometimes be mobilized more effectively than on a country-by-country basis. The visibility and "single management structures" of MCPs have proven to be attractive to funding agencies, especially those with a particular thematic focus in their development assistance. MCPs now account for a significant portion of Other Resources.

73. MCPs can be organized at the global or regional level, or around a geographical area, as shown in the following examples:

- Global: Global Girls' Education Programme; Guinea Worm Eradication; UNAIDS;
- Regional: Monitoring Social Conditions in Eastern Europe;
- Geographical: Amazon Basin Programme; Great Lakes Emergency Programme.

74. The CP approach is central to UNICEF's cooperation. MCPs should always complement, and not undermine, the country-based approach and the priorities of UNDAFs and individual CPs. The following may be good reasons for initiating a MCP:

- the need to kick-start or accelerate priority global interventions (e.g., girls' education);
- a funding agency wants to achieve wide-scale visibility through a UNICEF priority;
- a technology or intervention is ready to go to scale across countries (e.g., a new vaccine);
- growing international interest in a specific intervention relevant to UNICEF's mandate (e.g., child labour; HIV/AIDS);
- special opportunities to address regional concerns that are beyond the technical and managerial capacity of single CPs;
- problems that require similar action in contiguous countries;
- bilateral or multilateral resources that are tied to specific geographical or political areas.

75. A decision to initiate an MCP is made in collaboration with the Regional Office, HQ divisions including PFO and PD, funding agencies and, in many cases, national governments. It requires that those involved in planning and implementing an MCP are committed to a collaborative approach, and can devote the necessary time and management resources to the process. A MCP may require human and financial resources that Country Offices must be prepared to contribute. A decision to participate in an MCP should consider the extent to which the MCP (a) is actually part of and helps to fund a portion of the existing CPs, or (b) is complementary to and supportive of the priorities and strategies of the CPs. Participating offices must be clear about which unit of the organisation has the primary responsibility for managing the MCP, including negotiations with donors and reporting.

76. MCPs and CPs can relate to each other in different ways, with different implications for the concerned Country Offices:

- funds provided through an MCP are accommodated within existing approved OR ceilings of the participating Country Programmes;
- a regional or geographical initiative is presented and approved by the Executive Board as a stand-alone MCP, over and above the approved RR and OR ceilings of the participating

countries. The MCP includes specific allocations that may be passed on to participating countries;

- a regional or geographical initiative is presented for a group of countries within the same CP cycle, and in which each CP allocates its own funding amounts, which form part of the initiative; and
- special regional funds are sought, but no individual country allocations are made. The Regional Office or HQ will administer the funds, which can be done as part of the Inter-regional Programme approved by the Executive Board (ref. [CF/PD/PRO/2002-01](#)).

77. Different HQ divisions are responsible for the following, regardless of where an MCP is initiated:

- policy direction in relation to Focus Areas as expressed in the MTSP;
- organising a collaborative planning process and formulation of an overall framework;
- identifying of donors, and negotiating their level of participation in planning and review of the MCP;
- identifying mechanisms for interaction between CO, RO, HQ;
- providing oversight and quality assurance covering proposals, reporting and evaluation; and
- global reporting and monitoring.

78. ROs are responsible for the following:

- (if the MCP is initiated by HQ) determining priority countries; providing oversight to participating COs; quality assurance; enforcement of reporting obligations; establishing the parameters for monitoring and evaluation; compiling lessons learned;
- (if the MCP is initiated by the RO) determining the scope of the MCP; coordination of preparation of the proposal; identification of donors with PFO; providing oversight to participating COs; quality assurance; monitoring donor reporting; establishing the parameters for monitoring and evaluation; compiling lessons learned; assessment of regional strategy; and
- (if in addition the MCP has a geographic focus), the Regional Director is responsible for identifying coordinating mechanisms (which need not necessarily be located within the RO) as well as ensuring that countries report back to this coordinating body.

79. The COs are responsible for the following, regardless of where the MCP originates:

- adherence to principles and frameworks associated with the MCP;
- negotiating MCP participation with government and other partners;
- ensuring appropriate integration and coordination between MCP and CP;
- reporting as required by the contribution agreements. Specific reporting guidelines take precedence over conventional donor reporting (e.g., a donor may prefer a consolidated report); and
- participating in cross-country activities that are part of the MCP.

Section 3: Programme Preparation in Unstable and Crisis Situations

80. During prolonged situations of instability, the same key concepts and steps in the programme cycle are maintained. Programme plans may have to be less detailed than under stable conditions, and may have to be designed with particular flexibility to allow rapid reallocation of resources, or expansion of operational activities. However, planning should be no less rigorous and should be just as strategic and well-founded (see also [Chapter 2, Section 2](#)).

81. Programmes in unstable situations are more likely to be focused on immediate life-saving measures and the rehabilitation or temporary provision of the most basic social services and protection of human rights for children and their families severely affected by the crisis. On the other hand, the programming environment is much more complex: a government might lack full control over, or capacity to provide services to those in need. Relief agencies may have to deal with non-state entities that do not enjoy legitimate authority. Security considerations may prevent access to the neediest areas. Displacement may cause existing services to be overstretched. Transport, communication and logistics might be difficult to arrange. Many agencies may want to assist at the same time, and good coordination becomes challenging. The UNICEF Emergency Field Handbook describes the various considerations for programming in such complex environments.

82. Existing programme resources will normally be used for initial financing of emergency and relief operations. The government will have to agree to any significant diversion of approved CP resources (unless no government authority is available for negotiations). Various mechanisms exist to mobilize additional emergency resources ([also see Chapter 6, Section 11](#)). For large emergencies, the Humanitarian Coordinator may issue a Flash Appeal to cover immediate needs. The UNCT/IASC Team then evaluates whether the crisis and subsequent needs will extend beyond the 3 or 6 months of the Flash Appeal. If so, a Common Humanitarian Action Plan (CHAP) is prepared with longer term needs assessments, leading to the Consolidated Appeal Process (CAP). The CAP should be finalized to be included in the global CAP launch around November every year and is normally revised in July/August after a mid-year review.

Common Humanitarian Action Plan (CHAP)

83. Especially in large or complex emergency situations, the preparation of a ***Common Humanitarian Action Plan*** is an opportunity to work with other partners, and allows to for synchronization of UNICEF programmes of assistance with those of other agencies and for decisions on distribution of roles and responsibilities for a coherent and coordinated response. The CHAP has contributed significantly to developing a more strategic approach to the provision of humanitarian aid.

84. The CHAP is normally prepared by the Inter Agency Steering Committee (IASC) Country Team under the leadership of the UN Humanitarian Coordinator (HC). For the membership of the IASC see [Chapter 6, Section 10](#). Non-IASC organizations such as the UN Mine Action Service (UNMAS), UNAIDS, UNESCO, and national NGOs may also be invited to participate. The

governments, donors and other key humanitarian stakeholders may be consulted during the preparation of the CHAP.

85. The CHAP is a strategic plan and entails:

- an analysis of the humanitarian context, identifying the key concerns in regard to violations of human rights and humanitarian principles;
- an assessment of needs, taking into consideration the capacities and vulnerabilities of the affected population;
- best, worst and most-likely scenarios;
- stakeholder analysis; (who is doing what, where);
- a clear statement of longer-term outcomes;
- prioritized response plans;
- a framework for monitoring and revising the CHAP as needed.

86. The IASC Country Team will normally carry out a rapid assessment of the situation. UNICEF must ensure that adequate attention is paid to the situation of children and women affected by the emergency. Drawing upon data compiled in the preparedness plan and the insights of earlier vulnerability assessments, the rapid assessment should establish the exact nature of the crisis, including potential developments, implications for the rights of children and women, the required programmatic response, security and operational modalities. The UNICEF Emergency Field Handbook (Parts 2.2 and 3.1) contains details on how to conduct a rapid assessment. A [Needs Analysis Framework \(NAF\)](#) is also available to assist the HC and IASC Country Team to organize and present existing information on humanitarian needs in a coherent and consistent manner. The framework should be used to consolidate existing needs assessments and analyze them prior to developing the CHAP and the CAP.

87. More than in regular programming situations, the likelihood of rapid change is great. Preparedness to respond to a sudden “emergency in the emergency” is particularly important, to ensure UNICEF can successfully fulfil the [Core Commitments for Children](#). The CO should ensure that the [Emergency Preparedness and Response Plan](#) continues to be reviewed frequently (e.g. monthly). A [vulnerability/capacity analysis](#) (see [Chapter 6, Section 2](#)) should be part of programme preparation, and it is essential to frequently re-assess the situation of children and women. In complex emergencies, this is usually done jointly with other agencies. Ideally, a vulnerability/capacity assessment was already done before the onset of the crisis, and provides a baseline from which to plan the emergency response.

88. The CHAP is the foundation for developing a Consolidated Appeal or a Flash Appeal. Even those countries that do not prepare a Consolidated Appeal may benefit from a common humanitarian strategy.

Consolidated Appeal Process (CAP)

89. The annual inter-agency ***Consolidated Appeal Process (CAP)*** is usually the most effective way to obtain resources (see [CF/EXD/2004-014](#)). The CAP builds on the CHAP and fosters close cooperation between government, donors, NGOs, and a range of other humanitarian organizations. It is the main tool for coordination, strategic planning and programme delivery in the humanitarian sector. The normal duration of the CAP is one year; an updated version may be issued in the

subsequent year if the IASC Country Team determines that the humanitarian crisis persists. OCHA, participating UN Agencies, international organizations and NGOs issue the CAPs of all countries experiencing humanitarian crises at the annual CAP Launch, usually in November.

90. The CAP helps to focus on the most urgent needs within different programme areas, including those prioritized in the [Core Commitments for Children](#). Through the CAP, participating agencies agree on responsibilities to monitor a sector and programme implementation. Speaking with a common voice, agencies have been able to demand greater protection for people affected by complex emergencies, achieve better access to vulnerable populations and work more effectively with governments and other actors. Such coordination is especially important in the hazardous environments, which require greater resources to ensure the security of humanitarian workers.

91. The following considerations are important in preparing a CAP:

- (i) *Humanitarian Principles*: Are participating agencies and any warring parties aware of, do they understand and do they comply with the [humanitarian principles](#)? Are cooperating agencies committed to the Six Core Principles for a Code of Conduct to protect recipients of emergency relief from Sexual Abuse and Exploitation? In the case of armed groups, whenever possible, are terms of engagement signed setting out their obligations under human rights and humanitarian law and humanitarian principles? Are there systems, or will the participating agencies set up systems to monitor the provision of humanitarian assistance and compliance with humanitarian principles?
- (ii) *Gender Equality*: Do girls and women receive priority attention, and does the response include protection from gender-based violence? Are women and girls consulted in the design of the emergency response? Are differences in access to and control over resources, roles and responsibilities, coping capacity, and approaches to building peace by men and women systematically considered in proposed interventions? Have gender analyses or capacities and vulnerability analyses been conducted?
- (iii) *Refugees and Internally Displaced Persons*: Are participating agencies aware of the Guiding Principles for Internal Displacement? Is the situation of IDPs and refugee children included in the initial emergency assessment? Are their specific vulnerabilities described? Are strategies and programmes included to prevent or prepare for repeated or prolonged displacement?
- (iv) *Coordination*: Where UNICEF has assumed a sector coordination role as part of the humanitarian response, this should be clearly identified.
- (v) *Budgeting*: Budgetary provisions must carefully consider operational support costs. These include the necessary security management arrangements and additional supply, logistics, transport, communications and IT system costs. UNICEF Security Officers and IT/Communications staff should be consulted to ensure that adequate funds are requested.
- (vi) *Monitoring, evaluation and review*: M&E arrangements, including with partners should be explained and budgeted for. This includes taking into consideration the estimated costs of performance monitoring. The CAP should also include some form of light lessons learned or after action review. In a larger-scale emergency, funding should be set aside for an external inter-agency evaluation.
- (vii) *Long term horizon*: Especially in chronic emergencies, a longer-term approach might have to be adopted that links relief to recovery. See Transitional Appeal Process below.

92. Country Programmes approved by the Executive Board continue in emergency situations, although the programme components and typical activities to be supported may change significantly if so agreed with the government. Funds raised through a Flash Appeal or CAP are additional to the ceilings of the CPD approved by the Executive Board.

Transitional and Early Recovery Appeal Processes

93. The Transitional or Early Recovery Appeal Processes responds to the needs of countries emerging from crises (conflict or natural disaster) which, although in most cases still requiring humanitarian assistance, are characterized by an environment that allows for the resumption of recovery and longer term development activities. This appeal process should be used to effectively address the ‘funding gap’ between relief and development, by ensuring that early recovery needs are quickly identified and funded and early recovery programmes can start as soon as possible following a crisis, even whilst the humanitarian response is still ongoing. The existing UNDG/ECHA [Interim Guidance on Transitional Appeals](#) (2004) identified a set of benchmarks for use by UNCTs to determine if the country was ready for a Transitional Appeal Process. This guidance is currently being revised and an updated version, including the Early Recovery Appeal process, is expected to be ready early 2007.

94. The Transitional Appeal planning process should be broadly inclusive, considering the views of the local population, national and sub-national governments, NGOs and international stakeholders. The Transitional Appeal strategy should identify remaining humanitarian priorities, as well as rehabilitation, recovery, reconstruction and return/reintegration priorities by sector and geographic area. The Transitional Appeal should link longer term strategies, as appropriate, to the UNDAF, the PRS, and programmes supported by international and regional financial institutions.

Section 4. Results-based Programme Planning

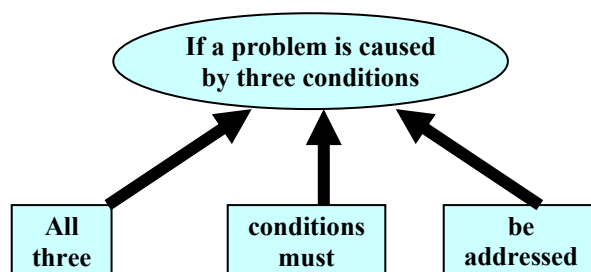
Principles of Results Based Programme Planning

95. Results can be achieved at the level of country programmes, programme components, and activities, and form a results chain. The scope of the planned results will vary according to the country setting and programme size. *Strategic results* describe the expected change in the lives of children and women.

96. Government, other development partners and UNICEF should reach agreement on the results chain leading to the strategic results for children. They should agree on the problem to be addressed, the causes of the problem, the specific results to be obtained through programme cooperation, and the sequence of steps needed to achieve it.

97. Results-based programme planning ensures that the sum of interventions is not only necessary, but also sufficient to achieve the expected result (see Fig.4.2).

Figure 4.2



If a problem is caused by three conditions, addressing only one or two conditions will not ensure that the problem will be solved. If the UNICEF-assisted programme can only address one of three necessary conditions, other Government departments, UN agencies or other partners need to commit themselves to deal with the remaining causes. We assume that the others will do what is necessary, and record this as a critical planning assumption.

98. The following sub-sections outline how to ensure a results-focus during the various steps of programme preparation.

Causal Relationships Problem Tree – Getting the Analysis Right

99. It is important to *achieve agreement* on the priority issues related to the realization of children's and women's rights. For a programme to address all that needs to be addressed, the main contributing factors of a problem and their causal relationship need to be identified. The graphic representation of this causal analysis is called a problem tree. The agreement on children's priority issues and analysis of their underlying and basic causes is achieved through UNICEF-supported country analytical work, and is recorded in the CCA.

100. The first step of any situation analysis is a broad-based identification of the status of the realization of the rights of children and women, i.e. an *assessment*. Based on quantitative and qualitative data available from national statistics and analytical work by UNICEF and others, it identifies which problems exist, where the problems are occurring, who are most affected by them, how widespread the problems are and what mechanisms exist or are absent to address those

problems. UNICEF adds value to this assessment by relating the situation and national goals to international standards, agreements and conventions, such as the CRC, CEDAW or WFFC Plan of Action ([ref. Chapter 2](#)). Such a broad assessment considers specific denials and violations of children's and women's rights, and situations that contravene human rights principles such as universality and non-discrimination. Data should be disaggregated as far as possible by area, gender, age and other key characteristics. It is expected that specific attention will be paid to the situation of marginalized children and their families, such as urban populations living in poverty and single-parent or youth-headed households ([see Chapter 6, Section 20](#)).

101. Although a wide range of problems may have been identified, the limited resources of the government, UNICEF and partners may make it necessary to prioritise them for analysis. The criteria for *selecting areas for in-depth analysis* may depend on the number of children and women affected by the problem; the problems affecting the poorest and most marginalized groups; the scope and severity of the problems; trends (e.g. a sharp deterioration); and the likelihood of the problem having an effect on the overall sustained realisation of human rights. Problem areas that are not analysed in detail, including for reasons of lack of immediately available information, may be earmarked for later research.

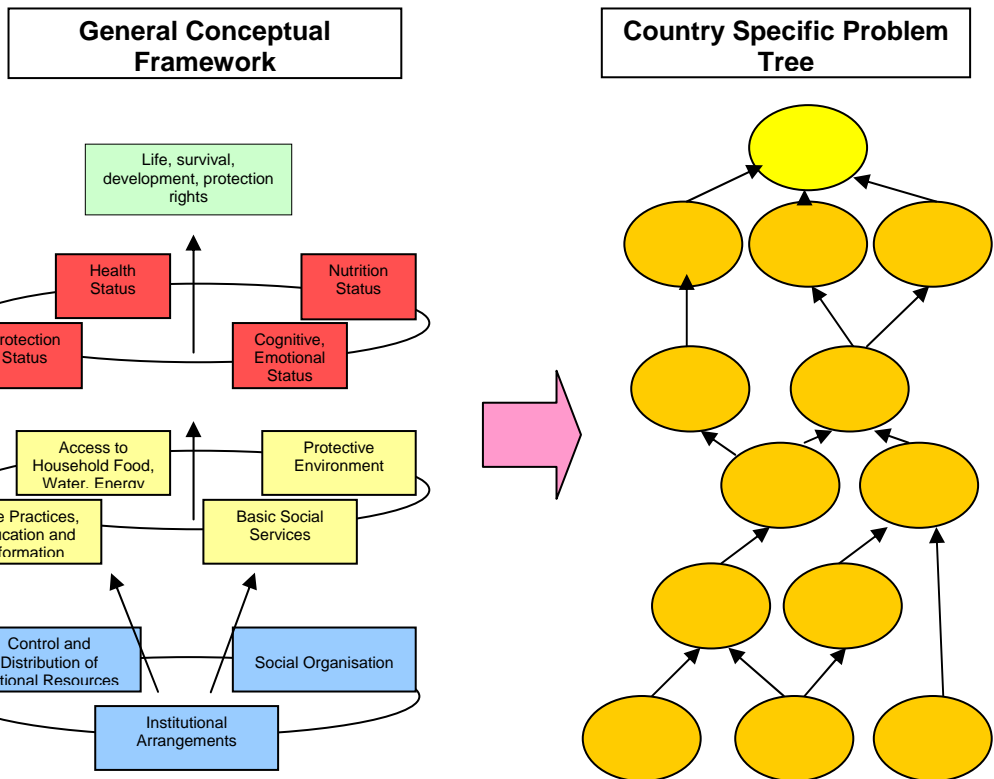
102. It might be difficult, initially, to identify clear relationships between different causes and the problem. UNICEF adds value to this process by contributing the results of global experience and scientific evidence, usually in the form of a conceptual framework.

103. A **Conceptual Framework** is an analytical model developed through scientific evidence, global research, local knowledge and lessons learned from evaluations that establish a structured way of looking at an issue (see Figure 4.3 for an example). A Conceptual Framework helps:

- to organize or cluster the multiple causes into a pattern of relationship, and to identify the immediate, underlying or basic causes;
- to ask the right questions, so we consider **all** main contributing factors (e.g. low girls enrolment can be the result of an inefficient school system. A conceptual framework points out that other main factors may have to do with family and community values);
- to convince partners to explore specific underlying or basic causes that they may have been reluctant to discuss.

104. Figure 3.4 illustrates the principal elements of the conceptual framework commonly used by UNICEF, which is derived from UNICEF's global [Nutrition Strategy](#). It is important to emphasize that the details within this framework will vary according to different situations and the specific factors affecting children's and women's rights.

Figure 4.3



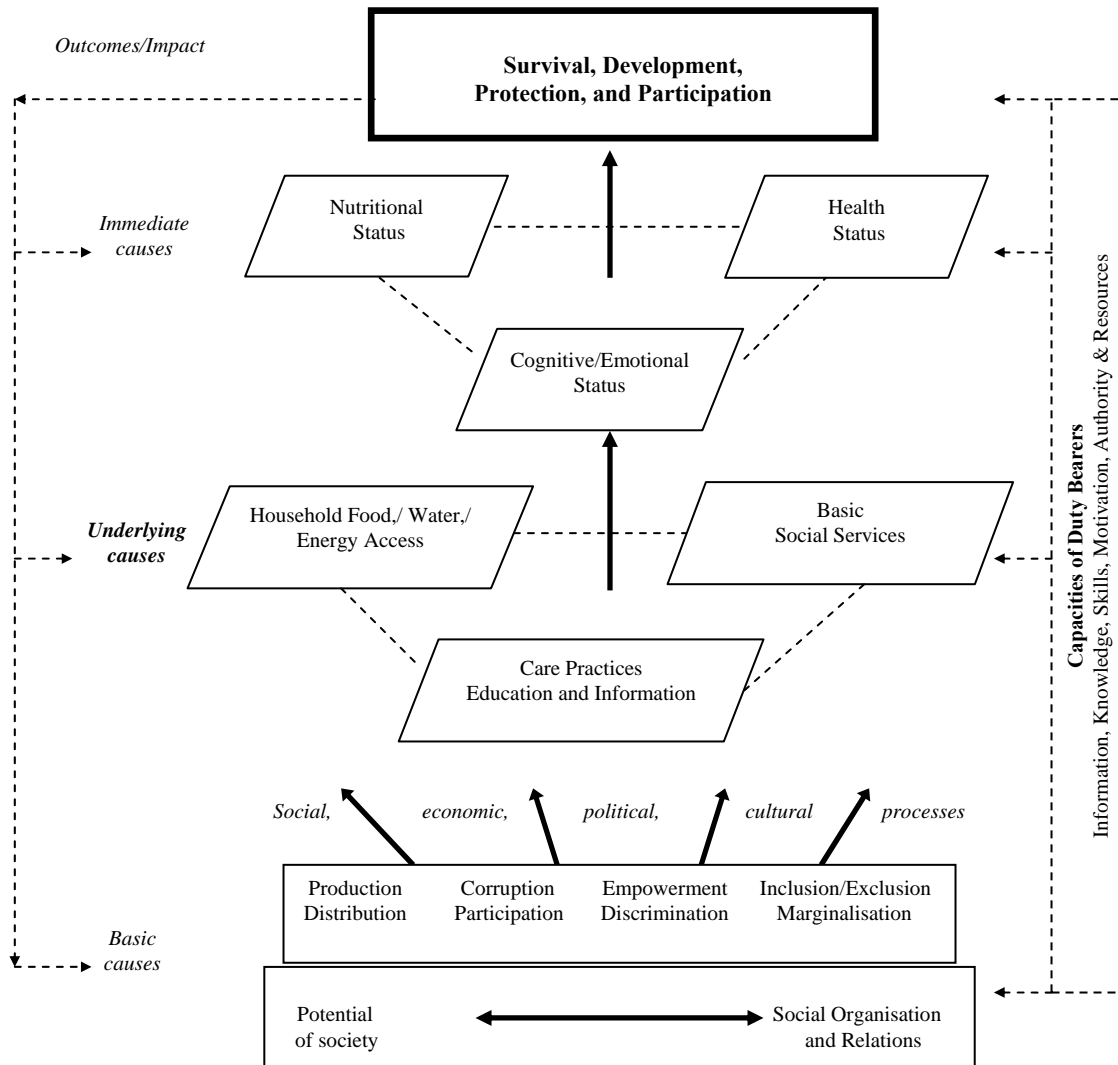
105. The analysis provides insights into the nature and structure of social services, in terms of access, use, equality, quality, efficiency and the linkages among them. It examines information on key aspects of the family and community situation, socio-cultural attitudes and practices, institutional capacities and access to essential commodities. In addition to quantitative data, qualitative information is also gathered, preferably with the participation of children, civil society and community groups (see [Chapter 6, Section 15](#) on participation of children and young people).

106. The assessment and analysis may also examine the extent to which an environment exists that protects children from violence, abuse and exploitation. UNICEF's Protective Environment model identifies eight key elements of a protective environment. It suggests to simultaneously examining both the causes of violence, abuse and exploitation and the systemic, societal, and institutional characteristics which fail to prevent them. The accountabilities of both potential perpetrators of violence, abuse and exploitation need to be clarified, and of those responsible for ensuring that a protective environment for children is in place.

107. With accountability being a key human rights principle, an important aspect of a human rights based situation analysis is the identification of those responsible for ensuring that children and women's rights are respected, protected, and fulfilled. These duty-bearers may lack the capacities to meet their obligations. Therefore, when trying to uncover underlying and contributing causes, the following questions need always to be asked:

- Why is it so or what causes this to happen/not to happen?
- Who is supposed to do something about this?
- What capacities are lacking for these institutions or individuals to carry out their duties?

Figure 4.4 An illustrative Conceptual Framework for Situation Assessment and Analysis of the Rights of Children and Women



108. Capacity gaps may include lack of information, knowledge or skills, will/motivation, financial or material resources. Duty bearers might not be aware of their responsibilities, or are not provided with the authority and support to carry out their duties. It has also been found important to include the capability to “manage and learn” and to communicate or “be connected.” It is also essential that mechanisms - organisations, judicial processes, political processes – exist and are effective in providing means for rights-holders to assert their claims and seek redress. To identify those missing capacities among duty bearers, ranging from families and communities to the national level, and strengthen them through programme interventions, is an important strategy of a human rights based approach to programming, and of efforts to strengthen national capacities as a priority of the UN overall. Table 4.5 helps in identifying capacity gaps of duty bearers.

109. Duty bearers may vary according to problem to be addressed. For example, in relation to child protection issues the duty bearers may include employers (in respect to exploitative labour);

media (in respect to raising awareness and respecting the rights of victims); religious leaders (in respect to orphan care or elimination of harmful traditional practices).

Table 4.5 Capacity Analysis Matrix

Level of Duty As defined in relation to the issue at hand and local situation	Role Analysis Who is supposed to do what to help solve the problem?	Capacity Analysis		
		Motivation Does the duty bearer accept the responsibility? If not, why not?	Authority Does the duty bearer have the authority to carry out the role? If not, who does?	Resources Does the duty bearer have the knowledge, skills, organisational, and human and material resources? If not, what's missing?
Immediate Care Giver				
Household				
Community Group				
Local Govt.				
National Govt.				
International				

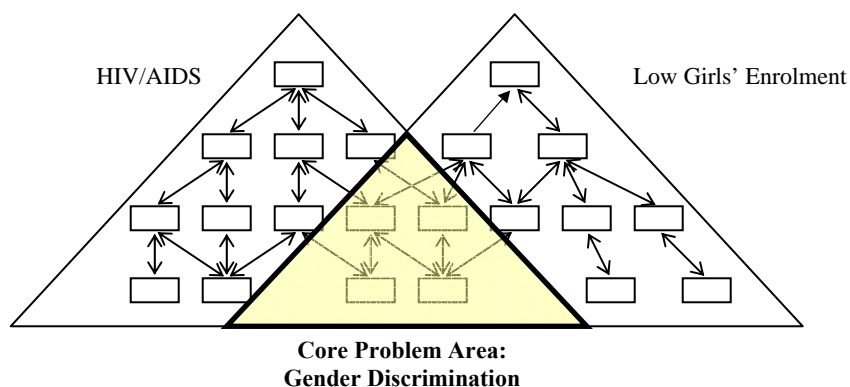
110. Different views, for instance among parents, service providers and government officials about the location of duties and accountabilities are indicative of the need to clarify those accountabilities in policies. Policies, in this context, may denote anything from a clear job description, standards of service delivery, sector policies, or planned budget allocations. Important policies may need to be established by legislation.

111. The causality analysis is the core of any situation analysis, including the CCA document. It is important that the problem tree correctly describes cause and effect in the local or country situation – and is not just a replication of a theoretical conceptual framework. The more specific the causality analysis of a problem, the more useful it is in identifying all interventions that are *necessary and sufficient* for the achievement of the planned results. Only a complete causal analysis will ensure that development partners can identify their mutually supporting roles. General statements in a causal analysis are not sufficient (e.g. a statement such as ‘inadequate policies’ does not point at the specific policy provision that needs to be strengthened). The problem tree helps to make strategic choices about which problem, cause or combination of causes to address. More immediate causes are often easier to address. More basic causes are more difficult to address, but tend to provide more sustainable solutions.

112. Problem Trees are a useful tool for uncovering other aspects of an analysis. In Figure 3.5., two problem trees (for HIV/AIDS and Girls’ Education) intersect to establish gender discrimination as core underlying and basic problem.

113. Any analysis – or problem tree - needs to be validated by those that have a role in the problem or its causes, including children, young people, parents, community members and main programme partners. Invariably, any causal analysis will be a simplification of reality, and programme planners need to be open to adjust the analysis in the course of consultations (see [Guidance Note on Participation](#) in Chapter 6.).

Figure 4.6: Connecting Causal Trees



Agreeing on a Broad Distribution of Responsibilities – Getting the UNDAF Right

114. A UNICEF assisted Country Programme cannot address all issues affecting children and women. UNICEF resources need to be allocated in areas where they can be most strategically used. Where a number of development partners are present, they can agree to distribute responsibilities and ensure that ***all main*** causes of a problem are dealt with. Taking care of ***all main*** elements of the results chain increases the likelihood of achieving the expected result.

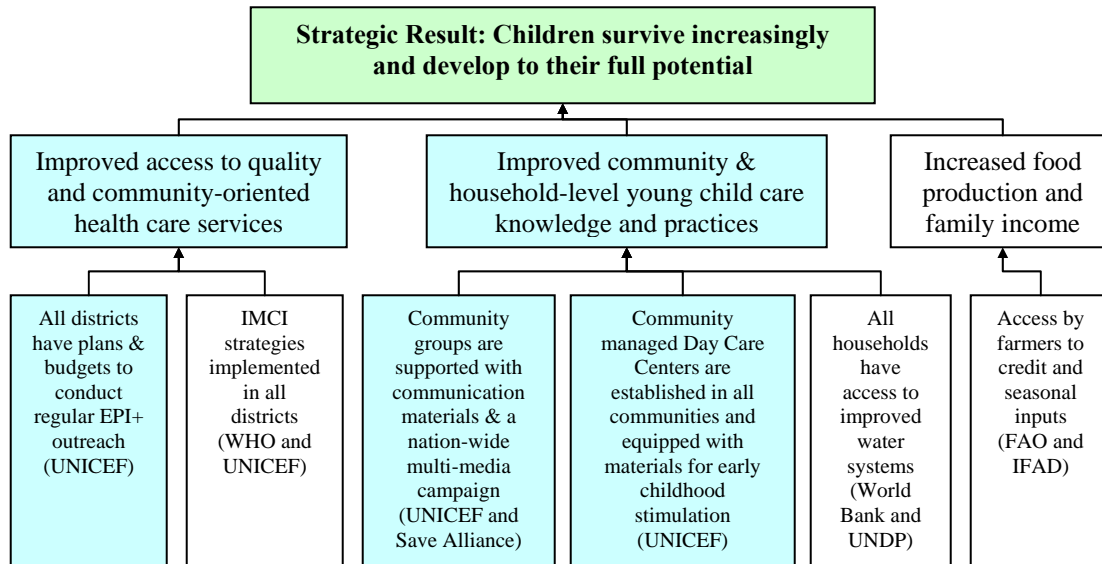
115. If, for instance, a capable agency is already active in supporting an important area, UNICEF may not need to be involved, even if the CCA has identified this as a critical area. On the other hand, if a co-operating partner is generally interested in a particular area but has not yet determined how exactly to go about it, the CO may decide to make this a priority for UNICEF support, thereby becoming the catalyst for the leveraging of additional, possibly major resources (see [Chapter 2, Section 2](#)).

116. The UNDAF achieves consensus among UN agencies on the priority issues for UN development cooperation. The UNDAF Results Matrix describes how the sum of the agencies' contributions – and those of other important partners - helps to achieve the selected strategic results. It does not define a complete results chain down to the activity level.

117. It is suggested to visualize the UNDAF Results Matrix and agencies' contributions in a results framework, as shown in Figure 4.7. The visualization of results in a results framework is an *approach* to programme planning, not a separate instrument or document.

118. This framework may also be used to identify areas where one or more agencies' support may not be sufficient to achieve the intended result. In such a situation, either the scope of the planned results would have to be reduced, or other partners (e.g. bilaterals, other Government institutions) need to be mobilised to commit themselves to provide the necessary assistance.

Figure 4.7 A hypothetical Results Framework for an UNDAF Result



119. In order to prioritise possible results and strategies to be supported, UN agencies should analyse the programming environment by considering following aspects:

- The three or four most pressing development challenges, based on existing analytical work and the CCA, and considering possible scenarios of crisis;
- National priorities as expressed in national development plans, the Millennium Declaration and MDGs;
- What has worked in the past and should be continued or expanded, and what did not work and should be cut;
- Where, within partnership agreements, agencies have a distinct comparative advantage or catalytic role;
- Particular opportunities or constraints (including opportunities, or difficulties in working with specific partners; lack of proven, cost-effective approaches);
- Interest from funding partners;
- Management issues, staff capacities, and realistic budgets.

120. Available financial, organizational and technical resources tend to be overestimated during programme design. It is good practice to limit the number of programmes from the outset to what can be done well.

121. Based on above or a similar checklist, the agencies may arrive at a consensus on “candidate” future country programme priorities and interventions, and planned results. This consensus would provide a starting point before entering into discussions with programme partners, and gives general directions for negotiations with counterparts.

Formulating Good Multi-year Programme Results

122. The quality of an UNDAF or programme design will largely depend on the description of the planned results. Results that are vague, cannot be measured, or cannot be measured within a reasonable time may lead to the selection of ambiguous programme strategies, unclear distribution of responsibilities among programme partners, and difficulties in annual planning, review and reporting. The following considerations should help in the formulation of multi-year results and their indicators (on annual result setting, see Chapter 4, Section 4):

123. Results should be described in “change” language, and not “action” language. Action language expresses results from the provider’s perspective, and reflect the intent and possible course of action of the development agency (e.g. to promote child survival). Change language describes a change in the situation of children or women, or in the performance of a service, the allocation of national resources, the existence of needed policies or any other observable change. Results are expressed from the perspective of the people the programme intends to serve (e.g. 95% of all young children are well nourished).

124. Multi-year results statements should be SMART.

S **PECIFIC:** the result is clearly stated and described in change language;

M **EASURABLE and MONITORABLE:** an assessment is possible to decide whether the result has been achieved;

A **CHIEVABLE:** the result correlate to a target that can feasibly be attained by the programme partners with UNICEF support. All necessary resources are identified and budgeted for;

R **ELEVANT:** the planned result represents a milestone in the results chain, leading to the achievement of commitments related to the Millennium Declaration, and national priorities;

T **IMEBOUND:** the achievement of the results is likely to happen within the plan period. There is an expected date of accomplishment, usually by or before the end of the programme cycle.

125. *Specific:* Planned results, including those related to behaviour change, expansion of a service or other improvements in development conditions must precisely state the expected change. For specificity, it is necessary to know what “adequate”, “improved”, “support”, “safe”, “comprehensive”, “effective”, “extreme” or “minimum” means. It should avoid the lumping together of possibly different results (education and communication), of different groups (pregnant women and their children). The statement should specify who is meant to belong to “marginalized children” or “families in poverty”.

126. *Measurable:* “Measurable” means there is an indicator and a way of measuring the indicator. For instance, it might be quite impossible to measure the “number of children used in armed conflict”. In addition, some results (e.g. changes in processes) may not be directly measurable. Moreover, a consultation or an assessment may be used as an indirect but still valid method.

127. *Monitorable*: “Monitorable” means the indicator can be periodically reviewed to identify any changes. Many indicators (such as percentage of children starting schooling at the right age, proportion of vulnerable children receiving free basic services) can only be measured through household surveys. Household surveys, because of their costs, may only be conducted every five years or so; if no baseline exists, the first available household survey may establish such a baseline, while the next household survey will happen years after the programme may have come to a close. In some cases, even if an indicator can be measured periodically, the margins of error might be too large to allow a definite statement of trend. This might be true especially when the sample size available for analysis is small.

128. *Relevance*: As much as possible, internationally agreed results and their indicators should be used. Even subtle differences in the description of indicators may give rise to problems during monitoring and assessments. This is particularly true for results for specific age groups. For instance, a child is generally defined as someone aged 0-17 years or aged under 18 years (and not 0-18 years).

Developing the Programme Structure

129. Guided by the UNDAF Results Matrix, Government, UNICEF and other partners decide on the specific results expected from their cooperation. A complete results framework will show the relationship between:

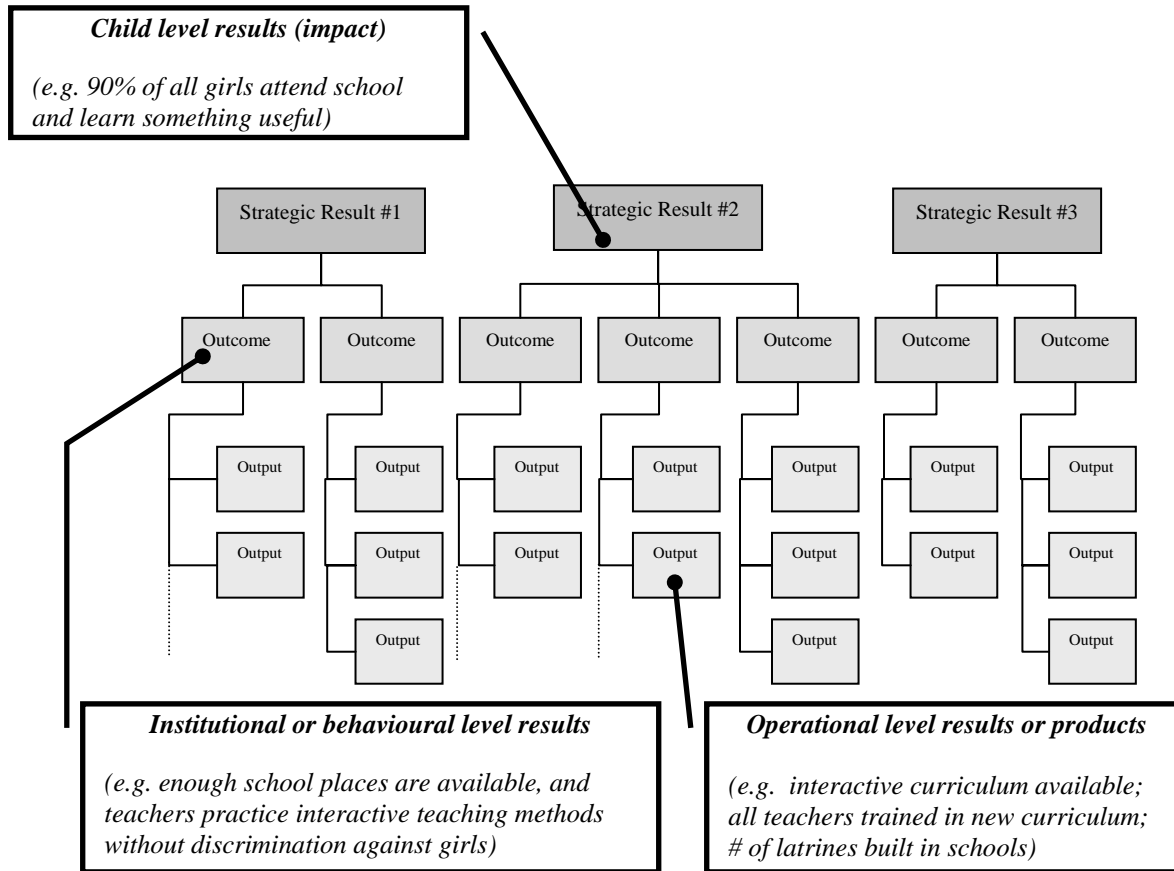
- Strategic results addressing key development challenges. For UNICEF, these should describe the realisation of rights of children and women, or a change in their status. The achievement of strategic results (or impact) will usually depend on many other factors including the contributions of more than one partner;
- Results – or outcomes - related to institutional change, quality or coverage of a service, or behavioural change. Their achievement may depend on the contribution of others;
- Operational level results - or outputs - of completed work plans, or products. The achievement of these results is largely under the direct control of Government, UNICEF and other immediate partners.

130. Depending on their programme size or complexity of their operations, UNICEF country offices may differ in the use of the terms “impact”, “outcome”, and “output” (e.g. to some, a specific result is an outcome, to others it is an output). Terminology is not an overriding issue, as long as the results chain is coherent and complete. (See also [Chapter 5, paragraphs 23, 24](#) and [Figure 5.3](#) on attribution and partnership).

131. A results framework for the proposed Country Programme should be developed before deciding on a programme structure. Management considerations will help to decide whether the results framework can directly translate into the programme organogram or whether there are reasons to adopt a different programme structure. For instance, a cross-sectoral result such as “95% of among young people can correctly identify 3 methods to prevent HIV infection”, could

- (i) translate into an HIV/AIDS programme making use of contributions from the ministries of health, education and sport, or

(ii) be attained through separate programmes (e.g. a health programme, and education programme and/or a programme with the ministry of sports).



132. The advantage of option (i) is a single work plan that will show all the needed contributions from different partners, and the dependency of the work of one partner on the work of another. Planning, monitoring, and communication strategies can be easily combined or synthesized. The advantage of option (ii) is that ministerial partners may feel more comfortable working in their “sectoral” environments. However, additional management arrangements are usually required to ensure all partners continue to contribute to the “cross-cutting” results.

133. The management implications of the choice of programme structure – as it relates to the achievement of the strategic results – and the management mechanisms that will ensure that the office is well prepared to support the Country Programme, are discussed in the Country Programme Management Plan (CPMP).

Using a Logical Approach to finalize the Programme Design

134. Programme planning is an *iterative process*, whereby results, strategies and the proposed course of action are adjusted in turn, until there is a reasonable expectation that the planned results can be achieved with the selected interventions and the available resources. By referring back to the causal analysis of the problem, and considering what others are expected to contribute, the

inherent logic of the proposed programme is improved. Most often, this “logical approach” is expressed in several iterations of a Logical Framework, or LogFrames. A LogFrames is another way of describing a results chain or results framework.

135. A Logical Framework is not a template that is completed once, but a tool to test the adequacy of intervention models. It is usually necessary to re-work the LogFrames in several iterations, preferably with a mix of key programme partners and primary stakeholders, until the planning teams are satisfied that results chains are correctly put together, and all major planning assumptions and risks are identified and where possible reduced. Reviewing the assumptions related to the commitments of others also helps to formulate an agenda for advocacy.

136. A Logical Framework, or “Logframe”, helps to:

- Examine whether the sum of the planned components /interventions is sufficient to attain the intended result;
- Explicitly describe the planning assumptions;
- Minimize the risk of failure (did we assume too much?);
- Determine the key monitoring indicators and strategic evaluation questions;
- Visualize the programme design and assess the quality of programme design at a glance.

The value of LogFrames lies as much in the process of developing them, as in the final product. Final versions may differ considerably from initial version.

137. Table 4.7 provides an example of a Logframe. Variations of the format are used by different agencies, but the basic elements are always the same. This particular format is suitable for giving a one-page summary of each programme component, for inclusion in the CPAP, especially for small and medium size country programmes. Large country programmes with more complex programme and AWP structures may have to split the Logframes in more manageable portions.

Table 4.7 Logical Framework Template

#	Level	Indicators	Baselines	Targets	MOV	Geogr. Focus	Risks and assumptions
1.	Strategic Result Statement						Overall Risk Analysis
1.1	Outcome Statement						Risks and critical planning assumptions specific to Results Chain #1.1 (including assumptions about contributions by other partners)
1.1.1	Output Statement						
	Course of Action						
1.1.2	Output Statement						
	Course of Action						Risk and critical planning assumptions specific to Results Chain #1.2 (including assumptions about contributions by other partners)
1.2	Outcome Statement						
1.2.1	Output Statement						
	Course of Action						
1.2.2	Output Statement						
	Course of Action						

138. A Logframe represents the merging of two complementary programming concepts in a matrix: the “horizontal logic” which underpins programme performance monitoring, and the “vertical logic” according to which lower-level results lead sequentially to results for children.

139. The **Horizontal Logic** examines programme performance assessment elements:

- If no measurable indicator can be found that describes the planned results, the result will have to be reformulated (e.g. “*strengthened capacity*” would need to be specified).
- Without a baseline, it will not be possible to detect change resulting from the interventions. (e.g. “*70% of children eat iodised salt*” is not a meaningful result if the current status is not known – it might already be at 75%!).
- Well-formulated results contain targets (e.g. “*improve coverage*” is not an adequate statement to assess whether the result has been achieved).
- Without Means of Verification (MOV), the achievement of the result cannot be assessed. MOVs should be reliable, practical and cost-efficient. This column will indicate whether the result can be verified through reviewing existing information systems, or whether a survey, study, special review process or evaluation is required. Participatory, locally-based monitoring should be included wherever possible. The fields for each result measurement are the basis for developing the Multi -Year [IMEP](#) and the Results Matrix used in the CPAP.

140. The **Vertical Logic** tests the soundness of the results chain or Results Framework:

- Are the actions listed under a particular output statement sufficient to achieve the output?
- Will the outputs listed under a particular outcome—including the outputs to be produced by other partners - be sufficient to achieve the planned outcome?
- Will the outcomes listed under one Strategic Result – including outcomes planned by other partners – lead to the achievement of the Strategic Result for Children?

141. In order to test the vertical logic, it is necessary to refer back to the original analysis of the problem and the contributions of others. If the analysis has identified three major causes for an inadequate social service, and the programme is only addressing two, the programme will have to add a third component. Alternatively, Government or another agency may agree to take care of this component. There is a **planning assumption**, that the other partner will do what is necessary and do it successfully. Assumptions may fail. When critical planning assumptions fail, the attainment of the Strategic Result may be at **risk**. The Logframe identifies such critical planning assumptions, so the planning teams can deal with them and reduce the risk of failure:

- Assumptions internal to Government or UNICEF management performance should be addressed by strengthening internal management:
Example: Training materials developed in time; UNICEF supplies arrive on time
How to deal with it: Improve internal management; adjust plan to allow sufficient time for developing training materials; order supplies early
- Assumptions to be clarified through international experience and knowledge:
Example: People will change their behaviour if they know how HIV/AIDS is transmitted
How to deal with it: Refer to scientific evidence and published experience from other countries

- Assumptions to be researched before finalizing the programme design:
Example: Private Sector will cooperate; politicians are committed to gender equality
How to deal with it: Conduct the necessary research and consultations before proceeding
- Assumptions that can be tested early in the programme:
Example: Children will use latrines
How to deal with it: Conduct a pilot before going to scale
- Assumptions that can be addressed by modifying activities or budgets:
Example: Monitoring system in place; use of guidelines enforced, good coordination between partners; expertise available
How to deal with it: Put the monitoring system in place; train supervisors in enforcing the guidelines; facilitate good co-ordination; set aside budget for procurement of expertise
- Major assumptions that can be influenced by modifying AWP and adding a clear advocacy agenda:
Example: Favourable policy environment exists; political commitment exists; funding available
How to deal with it: Add initiatives and build a persistent and persuasive advocacy agenda to influence policies and political commitment; approach donors before finalizing programme design
- “External Risks” not directly related to the logic of the results framework should be monitored to check whether the programme as a whole still makes sense:
Example: Political stability prevails; no war
How to deal with it: Programme partners can do nothing about it. Monitor the situation to assess whether the programme continues to make sense; reconsider programme when necessary.
- “Killer” assumptions assume too much, or are likely to fail. The Programme should be abandoned or re-thought. Perhaps a less ambitious intervention or result could be chosen:
Example: Fundamental attitude change required; a major new social movement will be present;
How to deal with it: Re-think or abandon the programme

142. Once many assumptions have been dealt with through several iterations of the logical approach, a small number of assumptions will remain. These remaining critical planning assumptions should be re-examined during periodic reviews, such as annual UNDAF reviews or the Mid-Term Review. If the programme environment changes or planning assumptions are failing, the results chain needs to be revisited. This may lead to adjustments in the planned results and programme design. In unstable situations and emergencies, these critical assumptions are more prone to change, and may need to be checked more frequently (i.e. monthly).

143. If Logframes have been used to finalize the programme design, the preparation and refinement of the Summary Results Matrix follows with ease. The Logframes – regardless which specific format was selected by the CO and programme partners - provide the main indicators, baselines, means of verification and planning assumptions that need to be monitored, and point towards needed research and key evaluation questions.

144. The key indicators for each result will form the basis for developing the more detailed multi-year Integrated Monitoring and Evaluation Plan (IMEP). The ‘Data Sources’ field will indicate whether the result can be verified through existing information systems, or whether a survey, study, or special review process is required. The IMEP would also aim to identify necessary

evaluations and research to clarify or test planning assumptions. See [Chapter 5, Section 3](#) and [Chapter 6, Section 6](#), for more details on the elements of the IMEP.

PQAA Checklist – Programme Preparation

Country Programme Preparation Work plan

- ❑ Has endorsement of the work plan for supporting Country Analysis and UNDAF preparation been obtained from the highest authority in the government coordinating body?
- ❑ Does the work plan reflect commitment of adequate resources, including time, in order to meet the work plan deadlines?
- ❑ Does the work plan reflect adequate teamwork of the UN System, including specialized agencies and non-resident?
- ❑ Does the work plan spell out the responsibilities and tasks of all stakeholders, including the expected outputs at the various stages of the process?
- ❑ Does the work plan provide for sufficient lead times for preparation and review of draft documents, including the quality-review of CCA and UNDAF?

Country Analysis/CCA & UNDAF

- ❑ Do analytical processes or products (existing or planned) provide reliable, recent data related to the MDGs and do they adequately describe issues, trends and gaps?
- ❑ Have important comments by CRC and CEDAW Treaties Bodies (i.e. responding to national reports) been considered?
- ❑ Does the CCA consider, at least at the assessment stage, all Focus Areas of the MTSP?
- ❑ Are data sufficiently disaggregated (e.g. by gender, age group, ethnicity, region, religion and language) to identify excluded groups?
- ❑ Are there evident priorities among the problems and challenges identified?
- ❑ Are the root causes of these problems and challenges identified at all levels of society, including at the structural or basic level??
- ❑ Does the analysis describe patterns of discrimination and the different ways that children, females and males experience these problems?
- ❑ Has the likelihood of humanitarian crises and natural disasters and who is likely to be affected, been assessed, as well as possible constraints (e.g. in the area of logistics) to effective disaster relief?
- ❑ Rather than describing averages, does the CCA identify vulnerable groups with the poorest social indicators?
- ❑ Has a conceptual framework been used to prepare a causal analysis for the key problems affecting children and women?
- ❑ Has the gender-differentiated impact of national policies, plans and programmes been analysed?
- ❑ Have legislation and budget trends been analysed?
- ❑ Does the analysis identify the key actors or “duty-bearers” (at national, sub-national, community and family level) for addressing the main problems, as well as their major capacity gaps?
- ❑ Have information gaps and capacity development needs for future assessment & analysis been identified?
- ❑ Does the UNDAF, in explicit terms, present the UNICEF’s comparative and competitive advantages both in terms of demonstrated capacity to achieve results and in comparison with other actors?
- ❑ Do the UNDAF outcomes “zoom in” on specific results, or are they formulated as door openers to include everything as activity? Are UNDAF outcomes merely an umbrella for a range of agency products? (Bad examples: “Improved access to social services...”, “Reduced poverty”, “Better governance”)
- ❑ Does the UNDAF describe how the outcomes pursued by the individual agency CPs will ensure that the Strategic Results for children, women, and people who are poor will be attained?

CPD/CPAP

- ❑ Are the planned results and strategies clearly related to problems affecting children's and women's rights and to the causes identified in the country analysis or CCA?
- ❑ Has the focus of the CP been analysed and articulated in relation to relevant Focus Areas as expressed in the Medium Term Strategic Plan, and to the UNDAF priorities?
- ❑ Is the CP consistent with national priorities and policies and does it clearly contribute to the Millennium Agenda and to PRS and SWAs where they exist?
- ❑ Has a results framework been used to illustrate the necessary components and interventions required to achieve key results for children and women?
- ❑ Are the outcomes contained in CPD and CPAP consistent with the UNDAF outcomes as expressed in the UNDAF Results Matrix?
- ❑ Are planned results formulated that are as far as possible measurable and time-bound?
- ❑ Do all programme/project designs incorporate strategies that reflect and promote gender awareness?
- ❑ Do all programme/project designs incorporate strategies that reflect and promote human rights principles?
- ❑ Are programme strategies based on lessons learned from previous cooperation, verified through review, consultation, or evaluation?
- ❑ Has a logical approach (Logical Framework/LogFrame) been used to finalize the programme design?
- ❑ Have planning assumptions been reviewed to ensure that the selected results are feasible given the programme environment and existing resources?
- ❑ Are planned results and strategies likely to contribute to national or local-level capacity for the sustained fulfilment of children's and women's rights?
- ❑ Do programmes take into account new economic opportunities and the capacities of government, local organizations, communities and families to sustain project outcomes with their own resources?
- ❑ Are the planned results realistic in terms of likely available UNICEF financial and technical resources?
- ❑ Does the CP take into account any potential environmental implications as identified by an Environmental Impact Screening and, where necessary, Assessment?
- ❑ Has the Integrated Monitoring and Evaluation Plan been completed and does it outline M&E activities that will provide information to assess progress towards the major planned results?
- ❑ Is the IMEP consistent with the UNDAF M&E Plan?
- ❑ Does the CPAP include standard clauses on cooperation with NGOs/CSOs, fundraising and resource transfers?
- ❑ Was the CPAP signed by government immediately following the confirmation by HQ of Executive Board approval of the Country Programme?

Joint Programme or Projects

- ❑ Are joint programmes or projects built on a common work plan with implementing partners?
- ❑ Have the UNDG Guidance Note on Joint Programming and CF/PRO/2004-03 been consulted when negotiating Joint Programmes or Projects with other UN agencies?
- ❑ Was an assessment done to determine the value added of the joint programme option and the suitable management and funding arrangements?

CPMP/IB

- ❑ Was the CPMP developed with participation of staff members, and led by the CMT?
- ❑ Does the CPMP discuss the management mechanisms needed to ensure a consistent focus on the key results of the Country Programme?
- ❑ Where programmes are organized by sectors, does the CPMP explain the mechanism that will ensure support to inter-sectoral priorities and strategies?

- ❑ Is the budget based on a well-founded analysis of current fundraising potential in the country and past fundraising performance by the CO?
- ❑ Is there a clear statement of how the planned OR results will be raised?
- ❑ Is there an explicit statement on how funds will be allocated to the various programmes in the event of a shortfall of Other Resources?
- ❑ Does the CPMP establish performance indicators for the management of the Country Programme?
- ❑ Has an Emergency Preparedness and Response Plan been developed, and does it consider the possible constraints in terms of supplies and logistics?

References and Recommended Reading – Programme Preparation

- [Convention on the Elimination of All Forms of Discrimination against Women](#)
- [Convention on the Rights of the Child](#)
- [The Optional Protocol on the sale of children, child prostitution and child pornography](#)
- [The Optional Protocol on the involvement of children in armed conflict](#)
- Guidelines, [CCA and UNDAF](#)
- UNDG [Quality Checklists](#) for CCA and UNDAF preparation
- [E/ICEF/2002/P/L.16](#), Procedures For Consideration And Approval Of Proposals For Country Programmes Of Cooperation
- [E/ICEF/1999/13](#), Progress Report on Mainstreaming Gender in UNICEF
- [E/ICEF/1999/11](#), Programme Cooperation for Children and Women from a Human Rights Perspective
- [E/ICEF/1997/7](#), Children And Women In Emergencies: Strategic Priorities And Operational Concerns For UNICEF
- [CF/EXD/2004-015](#), [UNICEF's Core Commitments for Children in Emergencies](#)
- [CF/EXD/2004-014](#), [Consolidated Appeal Process \(annually updated\)](#)
- [CF/EXD/2003-024](#), Guidelines for Countries in Transition
- [CF/EXD/2002-029](#), Operational Guidance Note for the MTSP 2002-2005
- [CF/EXD/2002-019](#), UNICEF Role in supporting National and Regional Follow-Up to the Special Session on Children (SSC)
- [CF/EXD/2002-016](#), UNICEF's Priorities for Children: The MTSP
- [CF/EXD/2002-008](#), The MTSP and UNICEF Programming
- [CF/EXD/2002-002](#), Implementation of the Medium-Term Strategic Plan 2002 – 2005
- [CF/EXD/2001-013](#), Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2000-003](#), [Procurement Services](#) (Policy and Procedures)
- [CF/EXD/1998-004](#), Guidelines for a Human Rights Based Approach to Programming
- [CF/EXD/MEM/2005-05](#), Revised Guidelines for the Preparation of Country Programme Management Plan (CPMP) and Annual Management Plan (AMP)
- [CF/EXD/MEM/2002-005](#), Country Assessments of Essential Commodities
- [CF/PD/PRO/2004-05](#), Programme Planning Levels for Regular Resources
- [CF/PD/PRO/2004-04](#), Revised Requirements for Submission and Clearance of Country Programme Documents (CPDs)
- [CF/PD/PRO/2004-03](#), UN Development Group "Guidance Note on Joint Programming": A Guide for UNICEF Staff
- [CF/PD/PRO/2004-01](#), Other Resources for HQ, RO and Inter-Country Programmes
- [CF/PD/PRO/2000-06](#), National Execution
- [CF/PD/PRO/1999-01](#), UNICEF's Role in Sector-wide Approaches to Development
- [Technical Notes](#) for Programming in Unstable Situations and Crisis
- [UNDG Guidance Note](#) on Joint Programming
- [UNDG Enhancing the Effectiveness and Efficiency of Joint Programmes](#): Lessons Learned from a United Nations Development Group Review
- *Children participating in research, monitoring and evaluation: your responsibilities for respecting their rights*, [Evaluation Technical Notes series](#), Evaluation Office, 2002

- [Needs Analysis Framework \(NAF\)](#), IASC, 2005, on the analysis and presentation of humanitarian needs in the CAP.
- A World Fit For Children, [WFFC Declaration and Plan of Action](#),

Chapter 4. PROGRAMME IMPLEMENTATION MANAGEMENT

1. Section 1 describes the process of programme implementation and its most important annual milestones and documents, as well as the importance of the Mid Term Review and other evaluations. Section 2 provides an overview of how the day-to-day implementation is managed in the Programme Manager System (ProMS).

Section 1. The Country Programme implementation process

Annual Work Plans (AWPs)

2. For UNICEF, UNDP, UNFPA and WFP, the Country Programmes as described in the CPAPs are operationalized through a series of Annual Work Plans (AWPs). AWPs, previously called Project Plans of Action (PPAs), describe the planned annual outputs and the activities to be carried out by the implementing government or NGO partner, and the support to be provided by UNICEF. The outputs of the activities should lead over time to the achievement of the 5-year objectives of the programme component, as described in the Country Programme Action Plan (CPAP).

3. The relationship of CPAP and AWP should be understood by all partners:

- The CPAP is the agreement on the key results to be achieved during the Country Programme, on the main programme strategy and structure, and on the operational modalities governing the relationship between government and UNICEF.
- By endorsing an AWP, in writing, the implementing partners confirm their commitment to carry out the activities detailed in the AWP, and UNICEF commits to providing the specific financial, technical or material support, in accordance with the modalities set out in the CPAP.
- The preparation of PPOs (Programme Plans of Operation) is optional, though many programme managers may find it useful to have a concise document detailing aspects of the specific programme component of the CPAP. PPOs may be prepared as a series of individual documents which together form a second volume of the CPAP or annexes thereof, depending on the needs of the partners (see Chapter 6, section 5 for details).

4. As non-governmental organizations (NGOs) and community-based organizations (CBOs) are normally not covered by the stipulations of the CPAP, UNICEF and a collaborating NGO/CBO will normally sign a Project Cooperation Agreement (PCA) instead. The PCA refers to the CPAP as the overall framework of cooperation and includes operational clauses similar to those contained in the CPAP. The PCA, together with the attached AWP detailing the activities and budgets, constitutes the needed documentation for cooperation with the NGO. Detailed guidance on how to assess the suitability and the capacity of NGOs and CBOs for collaboration, and how to prepare cooperation agreements, is available in [CF/EXD/2005-08](#)). This guidance should be used in the development of all agreements with NGOs/CBOs.

5. The approved AWP is the document that government counterparts and other partners use to implement the activities and request the agreed inputs from UNICEF. The UNICEF programme officer uses the AWP on a daily basis to monitor the implementation of the planned activities, and to provide the agreed inputs. The AWP is the basis for any reservation of funds, the planning and

requisition of supplies, contracts, travel authorizations and cash inputs, and disbursements (payments). No disbursements are possible without an approved AWP. The Programme Manager System (ProMS) is the primary tool for UNICEF staff to efficiently manage the AWP and to plan, initiate and record any transactions. It is important that all staff are thoroughly familiar with the features of ProMS.

6. UNICEF programme officers and their Government and, where applicable NGO/CBO counterparts, jointly prepare the AWP during an annual planning meeting, usually after the annual technical review of last year's AWP. Some countries combine the UNDAF Annual Reviews with planning meetings. . Annual work plans should contain only those activities that government and other partners have agreed to carry out. The AWP should not be used to enter UNICEF's internal office or section work plan activities.

7. Lessons learned and recurrent audit observations indicate that poor or inadequate annual programme planning is responsible for slow financial and programme implementation, often skewed towards the third and fourth quarters of the calendar year. It is therefore important that the following common risks be taken into account when preparing AWP or multi-year plans:

- Is national capacity available to implement the plans?
- Is there sufficient buy-in and commitment to the programme by important decision makers?
- Are baselines and indicators adequately defined to enable monitoring progress?
- Can the programme be implemented given the existing national policies and budgetary provisions?
- What is the likelihood of securing resources for the unfunded portions of the plan?
- If some of the AWP are being done jointly (as joint programmes), what will be the practical implications?

8. As the AWP are the basis for any resource transfers, they must:

- set specific and measurable outputs, which can be achieved by the end of the AWP period¹ with the available funds, and which contribute to the planned results expressed in the CPAP, or as revised in the Mid Term Review;
- include activity descriptions that clearly define the responsible partners;
- include for each activity a realistic budget based on the cost estimates of necessary inputs; and budget source (or an indication that the activity is still unfunded);
- include all evaluations, data collection exercises, studies, research and other analytical work planned for the year, and any emergency preparedness activities;
- ensure that the recommendations of the last annual review process are applied.
- include a well thought out and agreed budget with the implementing partners
- reflect full participation, collaboration and “buy in” by implementing partners and the coordinating agency.

With a well planned AWP containing detailed activities and budgets, staff will spend less time to renegotiate plans and to conduct transactions. Instead, staff will have more time to provide technical advice or observe programme implementation through field visits.

¹ For some countries, December may not be the final month of the AWP. This may vary according to the national fiscal year.

- be amended by mutual consent only, during periodic (preferably quarterly) reviews - avoiding frequent alterations of AWP activities.

See Section 4 in this chapter on setting annual objectives, defining budgets and supply planning.

9. The Programme/Project Officer prepares the detailed AWPs, either directly in ProMS, or using a word processor or spreadsheet. ProMS has a facility to print draft and finalized versions of the AWP. Offices are encouraged to use the ProMS-generated AWPs for monitoring implementation and requisitioning inputs. If a [LogFrame](#) was used to design the programmes (see Chapter 3, Section 4), the AWPs seamlessly link to these, as well as to the Integrated Monitoring and Evaluation Plan (IMEP). The ProMS generated Annual Work Plan matches the format recommended in the UNDG guidance note on AWPs, but includes other UNICEF-specific information necessary for the UNICEF programme officer (e.g. information on budget sources).

10. All AWPs that include responsibilities to be undertaken by UNICEF and one or more counterpart agency (government or otherwise) should be confirmed in writing by the named agencies and, where required, by the coordinating counterpart government agency. This endorsement should be obtained, at the latest by the end of March - and normally much earlier in the year to enable disbursements to begin - either through signature on the AWP cover page or through an exchange of correspondence. In cases where the AWP is prepared on paper, the Programme Officer or Programme Assistant enters the details into ProMS. The AWP is set out as a table according to Figures 4.1 and 4.2.

11. As soon as the AWP has been agreed with programme partners, programme staff will reserve, in ProMS, *all* funds noted in the AWP. The Representative or Senior Programme Officer will then authorize the first work plans in ProMS. A ProMS-generated work plan represents the portion of an AWP for which funds have been reserved. The implementation of the *plan authorization control* is an important financial accountability of the representative and those to whom the representative has delegated such authority. It is the responsibility of the authorizing officers to ensure that:

- the quality standards described in paragraph 6, 7 and 8 are being met,
- relevant partners have endorsed the AWP in writing.

12. The AWP specifies annual targets and specific activity results that contribute towards achievement of a set of results identified in the CPAP. The AWP also contains the relevant multi-year outputs which the activities are contributing to. It contains the broad activity statements and the planned results to be achieved during a specified quarter during the year. The AWP further shows the implementing partner and the total budget required to carry out the activities. See the Work Plan format below which is to be filled out and signed out jointly between UNICEF and each implementing partner.

13. The signed AWP provides the basis for making reservations (at AWP level) and raising requisitions (at activity level) in ProMS. The cover page is signed by the implementing partner as well as by the UNICEF responsible Officer. If there are more implementing partners involved in one AWP, then the signing of AWPs presents the following options:

Option 1: Where there is more than one implementing partner in a given AWP, each of the partners signs the AWP. The corresponding amount (cash, supplies or services) that each of the partners will be expected to receive is stated against the appropriate activity line.

Option 2: Where there are several sub national implementing partners of the same parent partner (e.g. Ministry), a higher level officer (e.g. Chief Accounting Officer, Director, Permanent Secretary, Commissioner or Minister) may sign the AWP. In such a situation the officer designates specific officers from the sub national institution who will be authorized to request for support (cash, supplies or services) and where relevant sign the Funding Authorization Certificate of Expenditure (FACE) form. These lower-level institutions and designated officers should be listed against the respective activities in the AWP. If the higher level institution is to receive any funds this should be appropriately reflected in the activity line on the FACE.

14. If this AWP is part of a Joint Programme/Project to be undertaken together with other UN Agencies, the AWP is coded to show the joint programme type in ProMS as a Joint Programme.

15. The following tables provide standard formats for a) cover page for AWPs; b) AWPs; and, c) AWP monitoring tool as contained in ProMS version 7.0.

Table 4.1: Annual Work Plan (Cover Page)	
UN Agency: _____	Country: _____
UNDAF Outcome(s): _____	
Expected CP Outcome(s): _____ <i>(Those that are linked to the intervention and extracted from the CPAP)</i>	
Expected CP Output(s): _____ <i>(Those that are linked to the intervention and extracted from the CPAP)</i>	
Implementing partners: _____	
Narrative	
Programme Period: _____	Estimated annualized budget: _____
Programme Component: _____	Allocated resources:
AWP Title: _____	Government _____
Budget Code: _____	Regular _____
Duration: _____	Other _____
	Donor _____
	Donor _____
	Donor _____
	Unfunded budget: _____
Agreed by (Implementing Partners): _____	
Agreed by UNICEF: _____	

Table 4.2: Annual Work Plan Format

Annual Work Plan: _____									
Year: _____									
Expected CP Outputs	Planned Activities	Timeframe				Implementing partner	Planned Budget		
<i>Include indicators with annual targets</i>	<i>list all activities including M&E to be undertaken during the year towards stated CP outputs</i>	Q1	Q2	Q3	Q4	<i>One partner per activity may be stated. This is the partner who will actually receive the funds and/or supplies.</i>	<i>Source of funds</i>	<i>Budget description</i>	<i>Amount</i>
Total									

Table 4.3: The Annual Work Plan (AWP) Monitoring Tool

Year: _____				
CP Component: _____				
Implementing Partner: _____				
Expected CP Outputs	Planned Activities	Expenditures	Results of Activities	Progress toward achievement
<i>Include annual targets</i>	<i>List all activities including M&E components</i>	<i>List actual expenditures</i>	<i>State results of each activity</i>	<i>State progress against annual targets. Include constraint factors</i>
Output 1:				
Indicator w/ target 1.1:				
Indicator w/ target 1.2:				
Output 2:				

Joint Programmes and Projects

16. If in the course of joint preparation of the CCA and UNDAF, two or more agencies decide to support common results, and where they deal with the same implementing partner, have the same geographical focus, and/or where progress of activities supported by one agency is contingent on progress of activities supported by another agency, they may extend their coordination to the level of annual activity planning. The agencies and the implementing partner may then express their cooperation in one single AWP. This will be referred to as a Joint Project or Joint Programme (see [CF/PD/PRO/2004-03](#) and the [UNDG Guidance Note on Joint Programming](#)). A Memorandum of Agreement will normally be prepared by the participating UN agencies.

17. The determining criterion for a Joint Programme or Project therefore is whether the implementing partners find it useful to invite more than one UN agency to the Annual Work Planning meeting, and where the participating UN agencies agree to provide inputs into the one resulting Annual Work Plan. Such arrangements should result in significant reduction of transaction costs for the implementing partners. In contrast, an arrangement where UN agencies agree among themselves to jointly approach a donor but continue to have separate AWP with the same or different partners would not be referred to as a Joint Programme. The decision by UNICEF to enter into a Joint Programme/Project should be based on the assessed likely value added (benefit and cost implications), an assessment of readiness and capacity of the other UN Agencies.

18. Participating Agencies will then decide from the available Fund Management options:

- Parallel Fund Management. Agencies earmark, within the common AWP(s), those activities that they will support. Each agency disburses its funds and inputs according to the agreed schedule of activities. ProMS will reflect the UNICEF supported activities, and may also reflect important activities funded by other agencies, with zero budgets.
- Pooled Fund Management. If UNICEF is the Managing Agent, all activities of the common AWP(s) are reflected in ProMS. The CO disburses as usual, using UNICEF funds and those contributed by other UN agencies. If another UN agency is the Managing Agent, the CO enters into ProMS the activities to be supported with UNICEF funds, reserves the needed funds, and combines all respective disbursements into one payment to the Managing Agent. Participating agencies will sign Memoranda of Understanding detailing the role of the Managing Agent (see [CF/PD/PRO/2004-03](#) and the [UNDG Guidance Note on Joint Programming](#)).

Harmonized Cash Transfers Procedures

19. UNICEF, UNDP, UNFPA and WFP have harmonized their procedures for transferring cash to implementing partners. The harmonized procedures have implications for the way cash assistance is requested and disbursed, and how cash utilization is reported by implementing partners. The new cash transfer procedures are being gradually introduced at country level. UNICEF Offices whose country programmes are harmonized with other UN ExCom Agencies are expected to apply the new procedures by early 2007. All offices are expected to apply the harmonized approach by January 2008. The new procedures are described in more detail, including through technical notes, in the [UNDG Framework for Cash Transfers to Implementing Partners](#) (also available in [French](#) and [Spanish](#)). UNICEF has also issued a Programme Directive ([CF/PD/PRO/2005-011](#)) and Financial Circular ([FC15 Rev3](#), also available in [French](#) and [Spanish](#)) to explain the implications and procedures for adapting the new approach.

20. Before the first cash transfers is disbursed under the new procedures, the financial management capacity of each implementing partner which is expected to receive more than a combined total of US\$ 100,000 (or as otherwise decided locally by the UNCT) from all supporting UN agencies during the year will be assessed. Such assessments will be undertaken once during a programme cycle, or when warranted due to significant changes in the programme environment.

Where more than one UN agency will be working with the same partner, these assessments should be conducted jointly. COs may also conduct such assessments for partners who are expected to receive less than US\$ 100,000, but these are optional. The findings of the assessments do not establish conditionality for working with this partner, but rather will guide the type and frequency of assurance activities conducted by the UN agency, to ascertain the correct use of cash transfer as planned. Detailed checklists for conducting financial management capacity assessments are included in the UNDG Framework.

21. Cash transfer can be provided to the partner ahead of the implementation of the activities, or the partner may request for reimbursement of the costs of completed activities. Alternatively, the UN agency may agree to directly pay vendors for services procured by the implementing partner, or directly procure services and supplies from such vendors. Implementing partners will use a specific form (Funding Authorization and Certificate of Expenditure, or FACE), to request cash disbursements, and will use the same form to report on the utilization of cash provided. Direct Cash Transfer will normally be requested for activities to be implemented during the following three months. Implementing partners are no longer required to provide vouchers or receipts to document the use of cash transfer.

22. The FACE form mirrors the AWP format and is used by the implementing partner for those activities and budgets of the AWP that are assigned to the partner. The FACE keeps track of cash disbursed, and cash utilized. Direct cash transfer disbursed to but not utilized by the partner may be reprogrammed for a similar activity within the same AWP, consistent with the purpose and timeframe of the funding source, or they may be refunded. Re-programming does not change the implementing partner, nor does it change the initial date when the cash transfer was made. This calls for diligence in preparing the AWP: the implementing (receiving) partner must be clearly identified, the activities should be described as specifically as possible (e.g. including numbers of people to be trained or consulted, numbers of health centres to be supplied) and the budget estimates should be as accurate as possible.

23. UN agencies should also agree to apply common agreed rates for allowances (e.g. per diems, transport allowances) to implementing partners.

Programme Monitoring, Assurance Activities, Field Trips, and Progress Reports

24. During the year the Programme Officer reviews progress made in relation to the planned targets, outputs and activities as described in the AWP. If activities were planned by quarter, AWP review meetings could be scheduled accordingly. AWP should then be adjusted, if necessary. In the case of Joint AWP, these reviews and adjustments will be done jointly with other participating UN agencies.

25. Monitoring the implementation of activities (e.g. in terms of coverage, quality, timeliness, output) is important. Under the Harmonised Approach to Cash transfer procedures, programme staff will no longer reconcile vouchers and receipts submitted by partners, but should have more time to directly observe programme activities and the attainment of planned results.

26. Well-planned field trips are indispensable for monitoring progress and the ongoing relevance of activities. They provide a much needed reality check. Field trips should be undertaken jointly

with national, local and, where appropriate, other international partners. Each office should establish standards for the frequency of field visits for monitoring purposes, as well as a standard format for reporting. Field trips should, among others, provide information on the timeliness, use and usefulness of UNICEF inputs (cash, supply), a verification or assessment of outputs and identification of any negative impacts. Field trip reports should contain clear findings and recommendations, and be shared with concerned staff. Attendance at advocacy events can often be combined with field observations. A frequently updated office travel plan provides opportunities to add several purposes to one field trip (e.g. the education officer, during a trip to monitor teacher training, could be requested to visit a health centre to check on the availability of vaccines). (See [Chapter 6, Section 13](#) for a [checklist for field trip planning](#) and follow up).

27. On-site review of the implementing partner's financial records should be conducted to ascertain the correct use of cash transfers provided by UNICEF, in accordance with the stipulation of the CPAP and the activities described in the AWP. These may be conducted by UNICEF staff, or may take the form of special audits by audit firms. The reviews may be conducted and documented on a routine basis or when warranted due to concerns about the functioning of a partner's internal controls for the use of cash transfers.

28. Audits of a partner's financial management system should also be scheduled to take place at least once in a programme cycle, for any implementing partner who has or is expected to receive more than US\$ 500,000 combined from all agencies during the programme cycle (or any other amount as locally decided by the UNCT). Where the capacity of the Supreme Audit Institution (SAI) has been rated highly, these audits may be conducted by the SAI. For more details on assurance activities, including spot checks or the contracting of audit services, refer to the [UNDG Framework for Cash Transfers to Implementing Partners](#) and the included Technical Notes.

29. For programmes with major supply components, the office should systematically help programme and operations staff in tracking and monitoring delivery and end-use of supplies. The impact (results for children) of supply assistance also requires assessment and monitoring. This may be addressed most feasibly as part of wider views of sector, district or national programmes, and through the use of MICS.

30. Programme staff should also conduct monthly reviews of the status of requisitions and expenditure in individual PBAs vis-à-vis the PBA expiry date. ProMS and/or COGNOS can generate the requisite reports. Notes for the Record of discussions and agreements with counterparts, field trip reports, reports of on-site reviews on the use of cash transfers, meeting records and summaries of reviews and related evaluations should be systematically collated, and form the basis for the Annual Review and Annual Report.

31. The ProMS-generated Standard Progress Report Progress (see Table 4.3) shows, among others, actual output compared to planned output and actual expenditure against funds budgeted.

Table 4.4 Project Progress Report for (Project)								Year
Planned Annual Project Results(s):								Programme Cycle:
Project Totals: (in US\$ 1000)								
Estimated Budget:	0.0							
Funded Budget:	0.0							
Reserved Amount:	0.0							
Obligated Amount:	0.0							
Balance (unreserved):	0.0							
Balance (unobligated):	0.0							
Activity Description	Planned Output	Actual Output	PBA No(s)	Reserved (a)	Obligated (b)	Balance (a-b)	Expenditure (c)	Progress Notes
1.Subproject Description				Objectives:				
Estimated Budget:	0.0							
Reserved Amount:	0.0							
Obligated Amount:	0.0							
Balance:	0.0							
1.1.....								
1.2								
1.3								
2.Subproject Description								
Estimated Budget:	0.0							
Reserved Amount:	0.0							
Etc....								
2.1..								

32. Periodic reviews of the annual IMEP will examine whether planned monitoring, evaluation and research activities are on track. The reviews also indicate whether monitoring and evaluation activities provide decision-makers with the information they need, and whether the provided information is being used.

Annual Programme Review

33. In countries where Country Programmes supported by UN agencies are based on an UNDAF, a mandatory UNDAF Annual Review process should be organized jointly by government and the UN agencies. The principle purpose of the review is to assess progress towards achieving planned results as defined in the UNDAF Results Matrix, and to assess the continued relevance of planned results. The annual review process should link to national review processes wherever possible - such as sector reviews, reviews of PRS, reviews of progress towards MDGs and follow-up to the Millennium Declaration. It should also take place in countries affected by emergencies where the UNDAF exists. The degree of formality and elaborateness of the reviews is best determined by the Government and the UNCT. Elaborate reviews require more preparation and need to be justified in terms of an improved future direction of UN cooperation.

34. The UNDAF Annual Review process follows three steps, explained in more detail in the following paragraphs:

- (i) AWP technical-level reviews;
- (ii) theme group analysis;
- (iii) the UNDAF Annual Review Meeting.

35. The AWP technical-level reviews compare achievements against the planned results, activities, inputs and outputs as described in the AWP, with an analysis of the reasons for success or failure. Based on meeting records, notes for the records, field trip reports, progress reports, donor reports, summaries of reviews and evaluations and updated statistical data and indicators, these technical AWP reviews:

- Assess progress in the achievement of planned results as described in current year's AWP;
- Assess the contribution of each AWP to the CP Key Results and – for UNICEF assisted AWP – the contributions to the organisational Focus Areas and Key Results expressed in the MTSP;
- Identify problems and constraints, and the effect of measures already taken to address those;
- Identify emerging opportunities to accelerate the achievement of the planned results;
- Assess the usefulness, actual use and status of cash transfers, supply and logistics inputs and technical assistance to government and other partners;
- Review the implementation of evaluation and research activities planned for in AWP and the IMEP;
- Determine if available funds need to be reallocated within the same programmes;
- Identify major changes in the programme environment, especially in unstable situations, and the likelihood of crisis;
- Assess the use of Procurement Services operations, where they exist (see [Chapter 6, Section 16](#)).
- Provide agencies and implementing partners with conclusions for the next year's AWP.

36. The technical-level reviews of the AWP should be convened by the government, and normally involve all organisations with significant roles or interests in a specific AWP, including NGOs/CSOs and donors. AWP review meetings may be held separately in specific districts or municipalities where the programme is focussing, allowing for more detailed discussions and participation. For joint programmes, all involved UN agencies and implementing partners should review the relevant AWP together. The findings and recommendations of the AWP reviews provide inputs into the subsequent thematic reviews, for the UNICEF Annual Report and for the formal UNDAF Annual Review Meeting.

37. Thematic analysis by existing UN theme groups provides the opportunity for agencies to collectively assess convergence of agency contributions and overall progress towards UNDAF outcomes. Based on the individual AWP reviews, the thematic analyses should cover:

- Changes in broad planning assumptions, risks and emerging opportunities;
- Continued relevance of UNDAF and agency CP outcomes to national priorities and broader country context;
- Corresponding adjustments to UNDAF and CP outcomes;
- New opportunities for convergence/synergies across programmes, joint programmes and/or M&E activities;
- Necessary revisions to programme approach, cross-cutting strategies, partnerships, resource allocations and the UNDAF M&E Plan.

Each theme group chair submits to the UNCT a brief (2-3 pages) summary of its conclusions and recommendations for the relevant UNDAF outcome. The theme group summaries are used in the UNDAF Annual Review Meeting.

38. The formal UNDAF Annual Review Meeting is the once-a-year opportunity for all agencies and national partners to review the contribution of the UNCT to the achievement of national goals based on the UNDAF Results Matrix. *This meeting replaces individual agency formal Annual Review Meetings.* The UNCT and government will decide on the meeting scope and modalities. The UNDAF Annual Review Meeting should be convened by the government, and normally involves all organisations with significant roles or interests in the Country Programmes, including NGOs/CSOs, UN agencies, and donors. The Regional Office may participate in some cases, but does not generally do so. The meeting will provide:

- A yearly update of overall progress vis-à-vis the UNDAF Results Matrix;
- Validation of conclusions and recommendations that should feed into the preparation of the next round of AWP.

The UNDAF Annual Review process will also provide inputs to:

- The RC annual report;
- The individual agency country office annual reports;
- Donor reports;
- The UNDAF Evaluation.

39. Annual UNDAF Reviews are held around November or early December. Preparation for AWP reviews usually begins earlier - with the Government, other counterparts and UNICEF Programme Officers compiling material for the reviews.

40. In countries without an UNDAF, technical-level AWP meetings are held, followed by an Annual Review Meeting, convened by the coordinating government ministry. Other development partners contributing to the same results should also be invited. UN agencies and government may choose to combine their separate annual review meetings into one final Annual Review Meeting.

41. Immediately following the UNDAF Annual Review meeting, the UNCT and the concerned government authority confirm the major findings, conclusions, agreed recommendations and follow-up actions through signature of the minutes, or through an exchange of correspondence. The minutes or similar reports should be shared with the UNICEF Regional Director.

Annual Management Plan (AMP)

42. The main documents that guide the management of UNICEF support to the CP are:

- the CPMP, which sets out the strategic long-range management structure, and
- the Annual Management Plan (AMP).

43. The AMP is an internal office management tool. While the AWP describe the planned programme activities of all implementing partners, the AMP ensures that the human, material and financial resources of the Country Office remain focused on the planned strategic results for children. The AMP describes management and coordination mechanisms, and defines related staff

accountabilities. It binds together the available management documents and tools and enables staff, teams and committees to understand their respective roles. Preparation of the AMP helps to reasonably distribute responsibilities and assignments to available staff. The AMP provides the basis for linking individual work plans and performance review to office priorities,

44. The Representative is accountable for the preparation or updating of the AMP, with the support of the CMT, by 15 February. This should be reflected as a key assignment in the Representative's PER for the year. As part of the oversight function of the Regional Office, a copy of the AMP should be shared with the Regional Director, who may wish to use the occasion of the Regional Management Team (RMT) meeting to review Country Office performance based on the management indicators set out in the AMP.

45. The structure and content of the AMP are as follows (refer to [CF/EXD/MEM/2005-05](#))

- Programme Management Environment: Any major findings from the Annual Management Review or Mid Term Management Review, or other relevant findings or events (e.g. audit recommendations, increasing security concerns, increasing likelihood of crisis).
- Key Annual Management Priorities and Results: A list of not more than 10 of the most significant programme results from among those described in the AWP, and the 6 most significant management results planned for the year.
- Programme Management and Coordination Mechanisms: Regular meetings, committees, teams, focal points and their purpose; mechanisms and responsibilities for inter-agency collaboration; responsibilities to allow rapid decision making in case of crisis and emergency, including for early warning and preparation and updating of the [Emergency Preparedness and Response Plan \(EPRP\)](#) to ensure that the office is able to meet the [Core Commitments for Children](#); and membership in inter-agency crisis management teams. The security of staff is a crucial factor when operating in unstable environments.
- Other Staff accountabilities.
- Annual Calendar of major events.
- Management Indicators: A set of prioritized management indicators, baseline and targets to be regularly monitored especially by senior staff, the CMT, and the Representative. In addition to those related to the annual programme and management priorities, they include:
 - management indicators related to those set out in the latest guidelines for the preparation of Country Office Annual Reports;
 - any indicators decided upon by the CO, the RMT, or the Regional Office.
- Arrangements for performance review:
- Annexes: Document Authorization Table, Organigram; TORs of advisory bodies, including the CMT; the full updated [Emergency Preparedness and Response Plan \(EPRP\)](#); the Annual IMEP; the Annual Staff Learning Plan (see [CF/EXD/2003-04](#)).

46. The agreed office priorities and results provide the basis for PER assignments of staff. For well developed AMPs, it might be possible to “cut and paste” assignments directly from the AMP.

47. The CMT is the central management body for advising the Representative on procedures, strategies, programme implementation, management and performance, and how to keep human and financial resources focused on the planned results of the CP. The CMT is the primary recipient of management reports based on the indicators described in the AMP. CMT meeting

minutes should indicate the decisions and actions taken particularly in areas of low performance. The CMT is chaired by the Representative and includes all Heads of Sections, the Chairperson of the Staff Association, and a staff member representing the General Service staff. It should meet once a month or more often if required.

48. The AMP is primarily a “rolling” plan. While it may take effort to produce the first AMP, subsequent versions mainly need to update the annual priorities, and to reflect incremental changes to the office structure and management processes. The preparation of the AMP should involve most staff, to ensure transparency and ownership. The Annual Management Review (AMR) and the Mid-Term Review (MTR) are the mechanisms to adapt the AMP and CPMP, respectively. More details on the CPMP and AMP are available in [CF/EXD/MEM/2005-05](#).

Annual Management Review (AMR)

49. The Annual Management Review (AMR) is carried out at the end of the year, in conjunction with or following the Annual (UNDAF or Mid-Term) Programme Review. Its purpose is:

- to assess the accomplishment of the office’s annual priorities;
- to assess the effectiveness of the office management systems in keeping financial and human resources focused on the expected key results;
- to draw lessons and suggest improvements for inclusion in the following year's AMP;
- to provide key inputs on office performance for the Country Office Annual Report.

50. The review is internal, with full participation of office staff, and sometimes takes the form of a retreat. Staff will review progress and overall performance against the planned results and indicators described in the AMP. The AMR also reviews the adequacy of established management mechanisms, including the satisfactory functioning of office and statutory committees. The review is an opportunity to streamline excessive and duplicative management and coordination arrangements. It also identifies needed improvements in management systems, which should be recorded in the updated Management Plan for the following year.

51. Among the suggested issues for inclusion in the review are the following:

- How successfully was UNICEF support provided for the pursuit of the key results?
- Were financial resources and staff time primarily used in support of the planned results?
- Did the office successfully pursue a clear advocacy agenda in support of the key results?
- Did CO staff coordinate effectively with colleagues from other UN agencies?
- Did new partnerships increase the likelihood of achieving key results of the CP?
- How effective was the CMT in directing office activities in support of the key results?
- How much time was spent on field monitoring by programme staff, and did the findings of field visits help to increase focus on the planned results of the CP?
- Was donor reporting on time and of adequate quality, and were funding proposals prepared in support of the key results? Which are the funding priorities for the next year?
- How much of the office training/learning plan was carried out, what benefits accrued from the training and what further staff training is required for the support to the key CP results?
- Did the statutory committees function satisfactorily in support of key results?
- Are all staff knowledgeable about the joint UN security plan and the warden system?

- Is the [emergency preparedness plan \(EPRP\)](#) up-to-date? Does it include considerations of supply and logistics, human resources needs, IT needs? Are all staff aware of the provisions of the plan, including their individual roles and responsibilities?
- Were major staff welfare issues properly addressed and managed?
- Are changes to work process, office policies or performance criteria required to keep the work of the office and human and financial resources focused on the key CP results?

52. The effort that offices put into the AMR will depend on the size and complexity of the office and the programme. A major effort – and Regional Office involvement - may only be necessary when there have been major changes in the country environment (e.g. emergency situations, political change). The Representative is responsible for advising the Regional Director of major proposed changes to the CPMP framework, and for seeking the Regional Director's approval. Significant changes to the CPMP are normally only proposed following the Mid-Term Review or a major evaluation exercise, and those with budgetary implications may require approval by the PBR. For more details on AMRs refer to [PRO/1998-07](#).

Annual Report

53. The overall purposes of the Country Office Annual Report (COAR) are: to sharpen the analysis by the Country Office of performance in order to improve programme quality; to improve programme implementation and management; to provide input to organization-wide reporting on results for children and women from UNICEF cooperation in the framework of the MTSP; and to contribute to organizational learning.

54. Once the annual reviews of the AWP and the Annual Management Review (or Mid-Term Review in the relevant year) have been completed, the CO is in a position to prepare the Annual Report. The structure, focus and content of the Annual Report may vary from year to year according to the global guidelines, but it will always have a strong emphasis on performance management and on the organisational Focus Areas and Key Results expressed in the MTSP. The format of the programme progress section of the COAR is consistent with the Standard Progress Report (SPR) developed in the context of UN harmonisation and simplification. Regularly updated monitoring, evaluation and research plans help to prepare results-focused reports. Completed major evaluations and surveys provide additional information on progress towards achieving programme results. The latest EXD on the Annual Report guidelines must be used. The EXD provides deadlines for submission of the COAR, as well as for the Regional Analysis Report prepared by the Regional Office and HQ Divisional Reports. The report is finalized by the Representative, with the support of the CMT, and is submitted to the Regional Director and HQ.

Mid-Term Review (MTR) and Country Programme Evaluations (CPE)

55. The Mid-Term Review is held approximately halfway through the CP cycle, usually towards the end of the second half of the mid-year of the CP ([ref. PRO/1998-07](#) and [PRO/2005-07](#)). In countries with an UNDAF prepared in 2003 or later, the MTR may be conducted as a part of – or feeding into - an UNDAF Evaluation. The principal purposes of the MTR are to:

- examine how the experiences of the CP, at approximately its mid-point, can be used by national partners to improve policies and programmes for the rights of children and women;

- based on a systematic and in-depth review of progress in relation to original CP objectives and planned results, identify and make provisions for mid-course adjustments in the key elements of the CP design as approved by the Executive Board and agreed in the CPAP;
- assess whether modification in the CP results, strategies, distribution of funds between programmes, the CPAP, or the CPMP are warranted as a result of:
 - changes in the country's environment and the situation of children and women, including the likelihood of emergencies;
 - new insights and experience obtained during the first half of the programme cycle;
 - changes in the programme environment (e.g. expected partner contributions not coming forward; new emerging partnerships within and beyond the UN; changes in access and logistics)
 - changes in national or UNICEF policies and priorities as expressed, for instance, in the PRS or MTSP, or as emerging from the reporting process on the CRC;
- derive major lessons learned so as to improve the quality of programme implementation;
- indicate how these lessons may be applied to the subsequent CP for children and women.

56. The MTR is typically the most substantial of all review exercises in a Country Programme and should be as rigorous and focused as any evaluation. The design of the MTR depends on the specific purpose and scope of the issues to be reviewed, and should aim for both *cost-effectiveness* and *high quality* of findings and analysis. The MTR focuses on questions shaping the overall direction and strategic choices of the CP. The following should be considered:

- Preparation of the MTR should be foreseen and incorporated in the AWP and IMEP;
- The specific purpose, evaluation objectives and priority questions of the MTR must be clearly defined and agreed among partners;
- Stakeholder involvement is required;
- Comparison of findings across different approaches, types or sources of information, methods of data collection and types of analysis;
- The MTR draws on AWP and other monitoring reports, UNDAF annual reviews, evaluative activities or completed evaluations. At least some of these should provide rights holders' perspectives. Where no existing evaluative work provides this perspective, new data collection should be contemplated;
- The review process and final report should clearly distinguish the following:
 - UNICEF performance;
 - the shared performance and achievements of the Country Programme and UN partners;
 - Achievements in terms of the quality of both outcomes/impact and processes.

57. About six months before the final MTR meeting takes place, the government ministry responsible for cooperation with UNICEF and the UNICEF Representative draw up a work plan for the MTR. This should be shared with the RO for comment before finalization. Where an UNDAF Annual Review, UNDAF Evaluation is planned, the MTR work plan should form part of the overall UNDAF work plan. The work plan typically includes the date for the MTR meeting, preparation meetings, schedule and focus of consultations, any evaluations to be carried out with the dates for submission of the evaluation findings, the dates for the submission and review of task force reports, and the date for the preparation of the final draft report in time for the MTR meeting. A good work plan is the equivalent of a Terms of Reference for those involved in the process.

58. Over the preparatory period in-depth analyses of each of the main programme components that make up the CP are carried out. The process culminates in the final MTR meeting.

59. The review meeting lasts from half a day to two days. It reviews the progress of the CP in relation to the original planned results, the resources mobilized and used (compared to those planned), the main results for children and women achieved to date, constraints encountered, the findings of evaluations, and recommendations for corrective action.

60. Following the MTR meeting, two reports are prepared:

- a full report, prepared in cooperation with the government, using the outline set out in the MTR guidelines ([ref. PRO/1998-07](#));
- an internal summary of the full report, of up to five pages, for the use by the Regional Director, including in his/her reporting on the results of the MTR to the Executive Board, and for posting on the UNICEF Intranet.

61. The MTR process and final meeting may take place as part of, in conjunction with, or as an input to an UNDAF Evaluation or a review with national partners of other international programmes of cooperation. In such cases, however, *adequate provisions should be made for analysis of the progress and design of UNICEF cooperation specifically*, within the wider framework, in order to ensure accountability to the UNICEF Executive Board and funding partners and continuing effectiveness of the resources that UNICEF deploys.

62. Short duration programmes may conduct a MTR as an extended Annual Review process.

63. During or immediately following the last stages of the MTR, a mid-term management review should be carried out, which can in part replace the AMR of that year. The main aim of this review is to analyse the overall management performance of the CO during the first half of the programme cycle in comparison to the planned outcomes in the CPMP, and identify areas for improvement for the remaining part of the programme. In addition to the issues addressed in the AMR, set out above, the mid-term management review would also re-examine the staffing structure of the office and identify any necessary changes in the CPMP, to be proposed and presented to the next regional PBR. A short report of the management review will be written and distributed among the office staff, the Regional Office and Headquarters. Both the review and report will provide inputs to the Country Office Annual Report, and form the basis for the following year's AMP.

64. The MTR process, findings and conclusions, recommendations and lessons learned (for both the Programme Review and the Management Review) should be referred to in detail in the CO Annual Report.

65. As one option, the methodology of the MTR can take the form of a *Country Programme Evaluation (CPE)*. A CPE is an independent and credible assessment of the overall performance of a UNICEF-supported Country Programme of Cooperation (CP). The CPE is meant to support strategic decision-making for the remainder of the current CPC as well as the preparation of the next CP.

66. The CPE responds to expectations from the UN General Assembly and the UNICEF Executive Board² that operations and results at the country level should be evaluated independently and impartially in close association with national governments and that governments should be assisted in the development of national evaluation capacities. CPE may be conducted jointly with other partners (e.g. with donors and in the context of the UNDAF Evaluation).

67. The CPE is an alternative to and should replace the traditional MTR when a Country Programme is in need of a major renewal or realignment because of, for example:

- dramatic and rapid changes in the situation of children requiring new medium and long term thinking (e.g. due to a rapid worsening of HIV/AIDS);
- major policy changes in the country (important new policy initiatives of the government);
- new funding opportunities or rapid decreases of available funding;
- new demands on the Country Programme by partners (e.g. other development partners soliciting a clearer and more constructive role in the UNDAF and/or PRSP); and/or
- post-crisis transition situations, with a view to bridging the gap between relief, rehabilitation and development.

68. The CPE is not the preferred approach when there are already strong UNDAF review and evaluation mechanisms in a country as part of joint programming or the United Nations Evaluation Group has scheduled a Country Level Evaluation.

69. A decision whether to undertake a CPE in a specific country is usually made with the regional level (Regional Office, possibly with Regional Management Team endorsement) on the basis of a proposal from a Country Office. The conduct of the CPE has so far mostly involved a strong management role by the Evaluation Office at New York Headquarters.

70. The CPE approach differs from the traditional MTR in that it systematically involves external facilitation for the proposes of evaluation management as well as the conduct of the evaluation.

71. CPE serves the need for accountability (“Are we doing the right thing? Are we doing things right?”), but also support learning and performance enhancement (“Are there better ways of doing it?”). The CPE assesses the CP in terms of:

- Relevance in the national context, design and focus, effectiveness and efficiency as well as the sustainability of results in the MTSP Focus Areas;
- Supporting and cross-cutting strategies e.g. Results-Based Management, Human Rights Based Approach to Programming, gender parity and equality; partnerships for shared success; as well as generation of knowledge.

72. Country Programme outcomes and outputs are reviewed in relation to national development policies and strategies (including Poverty Reduction Strategies); the Millennium Declaration, the MDGs, and other internationally agreed goals, targets and principles; the UNDAF outcomes; as well as the Key Results and strategies of UNICEF’s MTSP.

² Triennial Comprehensive Policy review, GA Resolution 59/250 of 2004, and Executive Board Decisions 2004/9 and 2006/9

73. Because of its more strategic and holistic outlook and also because of its implementation modalities involving different national partners (e.g. ministries of planning or finance, policy research institutions), a CPE offers the opportunity to undertake a more comprehensive level of analysis. Part of this analysis may address issues related to scaling –up and/or mainstreaming of good practices as well as advocacy and leveraging of resources.

74. The CPE should result in clear recommendations in support of decision-making concerning the remainder of the current CP and the strategic design of the next one. It is important that national partners and UNICEF prepare a management response indicating which recommendations are endorsed and planned to be included in the new CPD and CPAP.

75. In consultation with national partners, CPE reports need to be brought to publication standards as they will be accessible in the public domain. Recent examples are those of [Afghanistan](#), [Cambodia](#), [Mauritius](#), Morocco, Peru and the [Pacific Island Countries](#).

76. Depending on the size and complexity of the CP, a CPE should be completed within three to six months and timed in such a manner that its outcome can feed into strategic decision-making.

77. The involvement of independent evaluation managers and the employment of external consultants are likely to entail a certain *financial cost* (estimated at between USD 100,000 – 200,000). On the other hand, the CPE approach should allow for a *reduced transaction cost* in terms of national and Country Office staff time as compared to the traditional MTR.

78. In the case of COs responding to the sudden on-set of a major humanitarian crisis that results in a significant increase in Other Resources, and in the absence of an evaluation undertaken with other major humanitarian actors, it is recommended that the CO plan for a major review or Country Programme Evaluation, to take place about 12 months after the on-set of the crisis. If there has been a dramatic change in country context, an externally facilitated CPE may be necessary.

Programme or programme component evaluations

79. For the purposes of accountability, the CO should carry out at least two major programme or programme component evaluations of strategic significance during the CP cycle. To ensure objectivity and credibility, the following should be observed (See: [Evaluation Technical Notes No.1](#): What is in a Terms Of Reference):

- Involvement of key stakeholders – national or other partners, CSOs, donors, UN agencies as well as other key actors – in defining the evaluation purpose, objectives and design, preferably through some form of steering committee;
- Consultation with primary stakeholders (as a minimum, and where possible more extensive involvement of the focus populations);
- Engagement of one or more external evaluators, with at least one of these external evaluators assigned a role as overall facilitator of the evaluation process;
- Triangulation, i.e. the systematic comparison of findings across different approaches, types or sources of information, methods of data collection and types of analysis.

80. CO responsibilities in respect of quality standards, disclosure, dissemination, submission of evaluation reports and management of evaluation follow-up are detailed in [Chapter 5](#).

Thematic evaluations

81. The purpose of thematic evaluations is to draw lessons that can be generalized beyond the context of a single project or programme. The theme can be based on:

- a strategy – such as community participation, capacity development, advocacy;
- a priority issue – such as decentralization, civil society partnerships, gender mainstreaming, in-country logistics, or management issues;
- a programme objective or area (including areas related to the MDGs and MTSP Focus Areas).

82. Thematic evaluations are often useful at key review events such as the Mid-Term Review. As part of their evaluation responsibilities, Regional Offices and Headquarters also carry out thematic evaluations focusing on strategic issues and feeding into regional and global policy development.

Resource Mobilization

83. Country and Regional Offices should base leveraging priorities on carefully identified opportunities and realistically assessed comparative advantages, and should be clearly in support of major result areas in their country programmes UNDAFs or emergency response plans. In its approach to leveraging of resources and results for children, UNICEF should raise the profile of leveraging work and adopt a bolder approach that is “risk aware” (see link below for details). As proposed in a 2005 report by a Task Force on [Leveraging Resources and Results for Children](#), Offices are encouraged to develop leveraging targets, indicators and standards.

84. UN reform, the overall orientation towards the Millennium Development Goals, expectations of engagement in Poverty Reduction Strategies and Sector Wide Approaches, and the emergence of Global Funds, among other new funding modalities, have made fundraising increasingly competitive. CF/[EXD/2003-013](#) on *Fundraising* underlines the need for all staff to understand their role as members of a global, organization-wide fundraising team.

Fundraising Strategy and Plan

85. Country Offices should have a clear fundraising strategy for securing approved Other Resources in support of the Country Programme. The fundraising *strategy* is part of the [CPMP](#), and covers the entire duration of the Country Programme. A [Fundraising Strategy Checklist](#) is available on the [PFO website](#) to assist in preparation of the strategy. The strategy should outline the main existing and potential governmental and inter-governmental funding sources, opportunities in the private sector including National Committees, inter-organizational arrangements (UN and international financial institutions) as well as through new aid modalities such as global funds and foundations.

86. As part of the CPMP, the office should set specific resource mobilization *targets* for the programme period and outline how, where, when and with whom resource mobilization activities

will be undertaken. This should include the maintenance of contacts with representatives of donor countries based in the country or the region, and with the concerned UNICEF donor focal point, including PFO (government donors/global funds and foundations), Brussels Office (European Commission/ECHO) or GRO (National Committees). A list of focal points is included in CF/EXD/2003-013 on *Fundraising* and the [PFO and National Committee websites](#) on Intranet.

87. The CMT or a specific resource mobilization task force should monitor the implementation of the planned resource mobilization activities and ensure that staff are aware of:

- annual fund raising targets and unfunded balance of the approved CPD;
- planned resource mobilization activities;
- status of the development of proposals for the unfunded portion of the CPD; and
- obligations for quality and timely donor reporting and utilization of funds.

Proposals and Budgets

88. A fundraising proposal is both an invitation to donors to finance UNICEF support to a programme, and a commitment by UNICEF to support the achievement of results in an area where UNICEF has a comparative advantage in the framework of the Country Programme. In the UN reform and changing donor aid environment, offices are encouraged to **move away from single project funding** to non-earmarked funding in pursuit of MDGs/ Millennium Declaration and other international goals and commitments. Proposals and related funding requirements should preferably be multi-year and cover several programmes. National Committees are also encouraged to support multi year programmes whenever possible.

89. Earmarked funding and conditionality by contrast, places UNICEF as a ‘contracting agency’ and increases transaction costs and often diminishes and undermines UNICEF’s unique position as a multi-lateral organization to provide global leadership on children’s issues.

90. A thematic contribution is categorized as Other Resources pooled funding to support the achievement of results in a thematic area at the global, regional or country level. The six thematic funding areas for the MTSP 2006-2009 are as follows:

1. Young Child Survival and Development;
2. Basic Education and Gender Equality;
3. HIV/AIDS and Children;
4. Child Protection from Violence, Exploitation and Abuse;
5. Policy, Advocacy and Partnership for Children’s Rights; and
6. Humanitarian Response.

91. When negotiating contributions, field offices are encouraged to engage donors to make contributions using the [thematic funding modality](#). After regular resources, thematic contributions are the preferred form of financial support to UNICEF because they support the Key Results of the MTSP and also allow for longer-term planning. Thematic contributions are received against Country Programme budgets approved by the Executive Board or against emergency appeals.

92. There has to be consistency between the proposal, the donor funding and its PBA, and reporting of the achieved results. In particular, the proposed budget, funds utilization and the expenditure statements in donor reports should be reasonably consistent. UNICEF proposals

should use the generic donor proposal format . Some donors wish to receive proposals in a specific format and COs should contact the concerned donor focal point or review the relevant donor profile on the [PFO website](#). For the European Commission/ECHO, the Brussels Office should be contacted. For National Committees, the GRO focal point should be contacted. The proposed budget should mirror the structure arising from the Annual Work Plan in ProMS to ensure consistency of the proposed budget with the ProMS generated/ Rover Briefing Book utilization reports, which will be shared with the donor as part of the progress or final reports. All proposed budgets should include the applicable cost recovery also known as indirect programme support costs (see paragraph 82 to 85)

93. In emergency situations, a range of resource mobilization options is available. At the onset of a crisis, Country Offices may reprogramme RR country programme funds (see [CF/PD/PRO/2000-02](#) for details), request Emergency Programme Funds (EPF) or UN Central Emergency Response Fund (CERF). As per the Core Commitments for Children (CCCs) in Emergencies, the CO is expected to issue within 24-72 hours a “pitch document” summarizing the initial financial requirements.

94. An inter-agency Flash Appeal coordinated by OCHA may be issued at a later stage. Once emergency response priorities are better identified, the UNCT may decide to launch a Consolidated Appeal Process (CAP), or UNICEF may in some instances issue a stand alone emergency appeal. Additional guidance is available on the PFO website (see also [Chapter 6, Section 9](#), on [Resource Mobilization in Emergencies](#)). Agencies take their respective leadership roles. UNICEF has been nominated Cluster Lead for the Water-Sanitation-Hygiene and Nutrition clusters; and co-leader for Emergency Telecommunication on Common Data Services. UNHCR is the global lead for the Protection Cluster. However, at the country level, under the overall leadership of the HC/RC, the three core protection-mandated agencies (UNHCR, UNICEF and OHCHR) should consult closely and agree which of the three would assume the role of Cluster Lead for protection either on the basis of existing arrangements or after conducting a common assessment to determine the required operational capacity.

95. The CO should monitor the status of donor proposals that have been submitted to donors with in-country representation (e.g. whether they have been received, are under consideration, are close to acceptance, have been rejected). The CO should also maintain contact with the concerned donor focal point on the status of funding proposals submitted through the focal point. Project proposals for National Committees are posted on the Intranet National Committees website (On Line Magazine) for approximately one year.

96. Agencies participating in Joint Programmes or Projects can choose from three funding modalities: (a) Parallel funding: each agency fundraises for its own portion of the Joint Programme, signs separate agreements with donors and reports back to the donor on implementation by its agency; (b) Pass-through funding: one selected agency (the Administrative Agent or AA) receives all funding for the Joint Programme and channels it to the Participating Agencies as per agreed work plan. The AA consolidates and submits donor reports; (c) Pooled funding: donors and UN agencies transfer their resources to one selected agency (the Managing Agent, or MA) that ensures implementation on behalf of all agencies. The MA is responsible for reporting to the donors and the contribution agencies. (See [UNDG Guidance Note on Joint Programming](#), and [CF/PD/PRO/2004-3](#))

Donor Agreements

97. Contributions to UNICEF normally require a donor agreement except for National Committee contributions which are usually transferred based on a proposal or an appeal. In such cases, mutual obligations are detailed on the PBA hard copy. Donor conditions, arrangement for transfer of funds, audit clauses, applicable recovery rates, reporting conditions and expiry dates require careful scrutiny before entering into agreements. The CO must ensure that locally-negotiated donor agreements are consistent with UNICEF policy and procedure and have been cleared by the concerned HQ donor focal point before finalisation and signatures.

98. Government contributions are mainly negotiated and processed through PFO. National Committee contributions are processed through GRO. The [PFO website](#) and the [Brussels Office website](#) have references to standard agreements with donor governments and ECHO. National Committees contributions are processed by the GRO contribution unit on the basis of the remittance advice received from the Natcom which specifies the conditions. [Guidelines on Points and Pitfalls in OR](#), available on the PFO site may help in negotiating agreements with governmental donors. For joint UN programmes or projects, where fundraising and reporting is channelled through a designated UN agency (called the Administrative Agent), standard Memoranda of Understanding are included in the [UNDG Guidance Note on Joint Programming](#). For In-Kind Assistance, refer to [CF/EXD/2004-12](#) and the IKA guideline on the Supply Division website.

Recovery Rate

99. Staff are encouraged to familiarize themselves with i) [Executive Board document and decision](#) on the 2006 review of UNICEF cost recovery policy; ii) [EXD/2003-013](#) on Fund-raising; and iii) [CF/AI/2003-035](#) on Thematic Contributions . The latest cost recovery rates and E/ICEF/2006/AB.L4 *Review of the UNICEF cost-recovery policy* are also available on the [PFO website](#).

- The *purpose* of cost recovery is to finance the incremental support costs associated with managing OR contributions and to eliminate any subsidization of OR contributions by scarce and valuable RR.
- Regular Resources were used in the past to administer a large number of small OR contributions with heavy administrative and reporting requirements. This was not sustainable, and contradicted Executive Board and ACABQ recommendations. For that reason, COs are not encouraged to accept contributions below US\$ 50,000.

100. Following a 2006 Executive Board Decision ([2006/7](#)), UNICEF's cost recovery rate structure has been harmonized with that of the other UNDG ExCom Agencies (UNICEF, UNDP, UNFPA and WFP). A 5 per cent recovery rate will be applied for thematic contributions; 7 per cent for non-thematic contributions; and 5 percent for private-sector fundraising in programme countries. A 1 percent reduction will be applied for non-thematic joint UN programmes where another agency may also charge cost recovery. The reduction requires approval by the Executive Director. Similarly, a 1 percent reduction will apply for single contributions to non-thematic contributions

exceeding US\$40 million. Approval of the Executive Director is also required. All contributions to UNICEF from all donors will incur an applicable recovery cost without exception.

101. The harmonization of the cost recovery with the other UNDG ExCom Agencies enhances the potential for securing OR contributions from European Commission, international financial institutions such as the World Bank and Global Funds, such as the Global Fund to Fight AIDS, Tuberculosis and Malaria. It should now be easier to reach agreement on financial conditions, allowing UNICEF to enter into substantive collaborative efforts (and undertake the Management Agent role in the pooled funding and management option of joint programmes).

Contribution Management

102. Country Offices should maintain complete records for all contributions (including the approved proposal, donor agreement, donor reports, PBA hard copy and related correspondence). PBAs received through the ProMS hub should be processed as soon as received. The CO should maintain awareness of the PBAs that are issued for its use, and make this information available to staff with *Plan and Input Authorisation* responsibilities so that utilization of resources can commence without delay.

103. The CO should be aware of the utilisation and reporting requirements agreed to with donors and outlined in donor agreements and the PBA hard copy for all contributions. It is recommended to avoid using more than 15 % of a contribution for project support without specific written agreement from the donor. When verifying a PBA in ProMS, the office acknowledges the donor conditions attached to the contribution.

104. The office should establish performance standards for the phased requisition of OR funds through the year and full use of funds before the PBA expiration date, should monitor office performance in relation to those standards, and address instances of slow/weak utilisation. Requisition and expenditure status should be reviewed periodically (at least quarterly and more frequently during the last quarter) to re-phase contributions to future years when required. The status of OR contributions can be monitored through the Rover Briefing Book. CO should inform the donor focal point in PFO or GRO of any changes in project implementation rate as per the donor agreement or project proposal.

105. The office should submit requests for the extension of the use of government contributions funds to PFO (and to locally based donors if the contribution was negotiated locally) and to the GRO Contribution Unit for National Committees contributions, at least three months prior to the PBA expiration date. Changes to contribution expiry and donor reporting schedules as a result of the extension, if any, will be adjusted by PFO, Brussels or GRO for updating in FLS and subsequent interfacing of these schedules through ProMS.

Donor Reports

106. Donor agencies and UNICEF National Committees are subject to stringent scrutiny by the public, parliamentary committees and auditors. UNICEF is expected, and legally bound, to submit reports to donors on the use of contributions. The reports should accurately analyse the results achieved with the donor contribution and should be in line with the proposal submitted to the

donor. UNICEF has not always performed well in submitting reports on time and of good quality. Offices should ensure timely and good quality reports to account for the resources entrusted to the organisation and to help raise additional resources.

107. A generic UNDG format for reports to government and National Committee donors is available on the Intranet [PFO or National Committee website](#). It corresponds to the harmonised Standard Progress Report (SPR) agreed to by UNDG agencies, and should be followed unless a donor has specified a different format. For National Committees, human interest stories and high resolution photos are an important supplement to the formal reporting. The Brussels Office provides guidance for reporting on EC/ECHO contributions.

108. The Representative has primary accountability for quality and timely reporting to donors. Country Offices submit reports at least two weeks before the deadline to either PFO or Brussels Office (see [CF/EXD/2003-013](#)) for transmission to the donor. In the case of funding from UNICEF National Committees, the CO submits the report directly to the National Committee, with a copy to the Geneva Regional Office (swzncdonorreports@unicef.org). The CO should also send copies of reports to local donor embassies and the RO. When submitting the report to the UNICEF donor focal point, the completed [report checklist](#) (available on the Intranet PFO or National Committee website) should be attached. When submitting a report to a donor, the donor feedback form should be attached (also available on the Intranet PFO website).

109. Representatives ensure that the timetable for donor reporting is part of the AMP and frequently reviewed. Performance Evaluation Reports (PERs) should include the timely preparation of reports as an essential element of performance. Beginning in 2006, donor reporting schedules are entered by HQ fundraising units (GRO, PFO) and interfaced to ProMS (see guidance on the PFO website *Data gap between ProMS 7 and Grants Phase II*). Once donor reports are submitted by field offices (either directly to the donor in the case of national committees or to PFO/Brussels), offices enter the date sent. If the donor report requires regional offices or Programme Division consolidation, the country office should ensure that the report is shared internally within UNICEF several weeks before the donor due date. For reports forwarded to HQ fundraising units for onward submission to donors, HQ will enter in FLS the date submitted to the donor (which will be interfaced back to ProMS).

110. In reviewing reports, Representatives ensure compliance with donor reporting requirements, including:

- accurate description of results for children and women, especially those achieved with the donor contribution, with careful attribution; numbers of persons assisted and geographic coverage;
- conformity with the results and activities specified in the proposal approved by the donor and adherence to conditions in the agreement and PBA hard copy under which the funds were received;
- consistency with previous progress reports, where applicable;
- an analysis of progress and constraints in achieving results and completing planned activities. If implementation is behind schedule, it is important to notify the donor and HQ fundraising units (PFO, GRO or Brussels) well before the expiry date, of any need for extension of the grant agreement;

- analysis (not only a listing) of collaboration with other agencies and recognition of their complementary contributions;
- accurate and up-to-date status of funds and utilization report for the full programmable amount in accordance with the approved budget;
- plans for the future use of remaining balance of funds.

111. The country office should set-up an internal quality control mechanism for reports (such as a peer review of sampled reports). Training in report writing as well as in requisition/ utilization descriptions in ProMS should be arranged, if necessary. Offices should locate the overall responsibility for reporting with senior staff.

112. Individual donor reports are not normally required for government contributions under \$100,000 per year and National Committee donors under \$50,000 per year. Edited versions of parts of the CO Annual Report may be used as a basis for reports for such contributions. However, some donors may require Utilization (financial) Reports, which can be found in the Rover Briefing Book. Where narrative progress reports are required by the donor for amounts under \$ 100,000 and \$50,000 per year, by governments and National Committees respectively, PFO or GRO will seek the prior approval of the concerned UNICEF Representative

113. Where two or more donors are contributing to the same programme component, field offices are encouraged to prepare and use the same report under the following conditions:

- each donor has a separate cover page;
- one page of text is added to the common report to specify what the funds from the individual donor were used for;
- a separate utilization report on the donor's contribution is attached.

114. For reporting on thematic contributions, please refer to [CF/AI/2003-035](#) *Thematic Contributions*, [E/ICEF/2006/9](#) *Thematic funding in the context of the medium-term strategic plan*, and [CF/PD/PRO/06-07](#) *New Guidelines for the allocation of thematic funds for the MTSP 2006-2009* as well as the annual PFO guideline on Thematic Reporting. In order for UNICEF to be able to receive thematic funding, part of its financial system was streamlined, with no tracking of each dollar received from a donor. Reporting of the use of thematic contributions is different and less burdensome, thus allowing more concentration on programme cooperation and achieving results.

115. Where there are multiple donors to an emergency response, the submission of one consolidated report with an attached one page narrative report on the specific PBA and the individual financial utilisation reports can be negotiated with the donors. Consolidated emergency reports are due 31 March annually to the donor.

116. As part of their oversight function, Regional Offices are responsible for monitoring and sample assessment of Country Office reporting performance: the quality of reports, their timeliness and compliance with reporting conditions.

117. Utilization reports included in donor reports which are based on ProMS local data are primarily meant to indicate current commitments by the country office charged to the donor contribution. Expenditure reporting is however the sole prerogative of the Comptroller, NYHQ. A footnote in utilization reports can explain that the utilization figure is an interim amount.

Official expenditure figures will be provided by the UNICEF Comptroller after the year-end closure of the accounts. DFAM prepares cumulative official financial statements, individual financial statements for completed projects or contributions, and individual financial statements upon request from government donors through PFO.

Section 2. Programme Implementation in Unstable and Crisis Situations

118. UNICEF humanitarian preparedness and response is as far as possible provided in accordance with established programme principles and procedures as described in this Manual. Support to the implementation of programmes often becomes much more complex than in regular programme situations. In unstable contexts, emergency *preparedness* activities should figure still more prominently and are integrated into the Annual Work Plans, Annual Management Plans and corresponding reviews. In unstable contexts, support to programme implementation must accommodate different operational strategies for differently affected areas within the country. The most significant differences come into play in a crisis situation:

- the content of programming in affected areas shifts to cover at least the Core Commitments for Children in Emergencies;
- as the UNICEF response may extend well beyond the capacities of the CO, the internal UNICEF coordination between country, regional and headquarters offices is much closer and with higher frequency to guide a cohesive corporate response; and
- interagency coordination and coordination with NGOs is heightened and may shift to a cluster coordination mode.

Programme Core Commitments for Children in Emergency – A phased response

119. As outlined in Chapter 2, UNICEF's [Core Commitments for Children in Emergencies \(CCCs\)](#) establish the essential principles, and programmatic and operational actions that should be taken to protect and care for children and women in emergency situations. The CCCs make a clear distinction between life-saving interventions that should be carried out immediately, **within the first six to eight weeks of any crisis**, and the broader spectrum of essential activities that may be added, once an initial response is well established. Although this distinction is most clear for sudden onset emergencies, the logic of the CCCs should apply to all humanitarian crises: focus first on those interventions which are deafly essential for immediate survival and protection.

120. In the initial response in the first 6-8 weeks, UNICEF should ensure the following actions are taken to protect children:

Assessment and advocacy: (i) rapidly assess the situation of children and women; (ii) establish monitoring and reporting systems on gross violations of child rights.

Health: (i) vaccinate all children between 6 months and 14 years of age (at the minimum all from 6 months through 4 years) against measles. Provide vaccines, cold-chain equipment, training and social mobilization expertise, financial support for advocacy, operational costs and vitamin A supplements, as required; (ii) Provide essential drugs, basic and emergency health kits, oral rehydration mix, fortified nutritional products and micronutrient supplements; (iii) Provide other emergency supplies such as blankets, tarpaulins.

Nutrition: (i) Support infant, young child and maternal feeding, and therapeutic and supplementary feeding programmes with World Food Programme and NGO partners; (ii) introduce nutritional monitoring and surveillance.

Water, Sanitation and Hygiene: (i) ensure the availability of a minimum safe drinking water supply taking into account the privacy, dignity and security of women and girls; (ii) provide bleach,

chlorine or water purification tablets, including detailed user and safety instructions; (iii) provide jerry cans, or an appropriate alternative, including user instructions and messages on the handling of water and disposal of excreta and solid waste; (iv) provide soap and disseminate key hygiene messages on the dangers of cholera and other water- and excreta-related diseases; (v) facilitate safe excreta and solid waste disposal by providing equipment, support for education and operational costs.

Child Protection: (i) rapidly assess the situation of children and women and monitor, advocate against and report on severe, systematic abuse, violence and exploitation; (ii) help prevent the separation of children from families; when it occurs facilitate the identification, registration and medical screening of separated children, particularly those under five years of age and adolescent girls; (iii) ensure that family-tracing systems are put in place with appropriate care and protection facilities; (iv) prevent sexual abuse and exploitation of children and women by monitoring, reporting and advocating against instances of sexual violence, providing post-rape health and psychosocial care and support. Ensure that all humanitarian activities are undertaken in a manner that minimizes opportunities for sexual exploitation and abuse by humanitarian workers. Ensure that all UNICEF staff and partners sign the Code of Conduct and are aware of appropriate mechanisms for reporting breaches of any of its six core principles.

Education: (i) set-up temporary learning spaces with minimal infrastructure; (ii) Reopen schools and reintegrate teachers and children by providing teaching and learning materials, and organizing semi-structured recreational activities.

HIV/AIDS: provide post-rape-care kits, including post exposure prophylaxis for HIV where appropriate, to health centres.

121. ***Beyond the initial response*** UNICEF programmes continue with basic emergency responses as needed and shift towards expanding and re-establishing services in WES, nutrition, health, education, child protection, and HIV/AIDS. More details on the initial response and response after the first 6 to 8 weeks are detailed in [the CCCs](#).

122. Unless the emergency response was predicted, as for example in the case of frequent seasonal natural disasters, the response may extend beyond the parameters outlined in the CPD, CPAP and AWP. As outlined in Chapter 4.2, where the emergency needs additional funding, it is framed first by a “Pitch Document” and later by various interagency or occasionally UNICEF stand alone appeals. Options for integrating the emergency response and additional funding in the existing programme structure are discussed in CF/PD/[PRO/06-06](#).

The Operational CCCs and internal coordination

123. As stated in the CCCs “Programmatic commitments require operational capacity in order to succeed. The interplay between technical and operational commitments cannot be separated and must be viewed as a single, integrated package of commitments”. Similarly, the CCCs establish that while the main responsibility for responding to a crisis rests with the country office, Regional offices and UNICEF HQ are responsible for providing assistance in specific priority areas to ensure that the organization fulfils its Core Commitments. Internal coordination between the country, regional and headquarters offices is critical to ensure a coherent and reliable response.

124. Actions and decisions taken in the first 72 hours to one week in a rapid onset an emergency will lay the foundation for an effective emergency response in subsequent weeks. The CCCs and

subsequently the *Emergency Field Handbook* have developed a simple checklist of priority tasks for country, regional and headquarters offices. [SUGGEST WE PROVIDE LINK TO EFH CHECKLIST FOR NOW. AND OR UPDATE IF WE GET IT THRU IN TIME]

125. The CO alerts the RO and HQ of the developing emergency situation and initiates an initial gathering, exchange and analysis of information on the emergency within the country and with the RO and HQ. The CO is responsible for ensuring immediate security of staff and their families and revisiting MOSS requirements in the changing context. The CO must also immediately undertake tasks to support interagency coordination, to lead in designated clusters/sectors (see below) and ensure that rapid assessment is undertaken. The CO must also assess operational capacities, needs and gaps, ideally with reference to plans outlined in the EPRP/Contingency Plan. These cover fundraising, communication, human resources, supply/logistics, IT/Telecoms and finance and administration.

126. The RO helps in identifying solutions to the human resource, financial and supply needs of the CO. The RO can also provide IT and telecommunications support to the CO, as well as communications support. As appropriate, the RO liaises with other regional organizations.

127. Headquarters supports the CO and the RO in identifying funding for the emergency response, rapidly deploying additional staff, and procuring essential supplies. The Director of EMOPS may appoint a “crisis manager” within HQ to liaise with other HQ divisions, ensuring that the needs of the respective country offices are being met. Together with the Executive Director, Regional Director and Country Representative, the Director of EMOPS will determine whether a “corporate response” to the emergency is warranted. For more details about the role of EMOPS, [see Chapter 6, Section 12](#).

128. UNICEF’s [Early Warning-Early Action \(EW-EA\) system](#) is a monitoring and preparedness mechanism for potential humanitarian emergencies. The objective is to alert the entire organisation of potential emergencies that would require UNICEF’s assistance (early warning) and to provide guidance on essential preparedness.

129. The EW-EA is a valuable tool for information sharing as well as for managing emergency preparedness at country and regional as well as at HQ level:

- Preparedness Plans: all users can upload/download EPRPs, Inter-Agency Contingency Plans and SitReps;
- Resources & Maps: provides a collection of emergency related, technical and scientific information resources;
- Guidance & Templates: gathers together various templates and guidance documents that are needed in an emergency situation (e.g. EPF template, request for Standby Personnel, Appeal Guidelines).

Human resources commitments – options for surge capacity

130. Having a staff mobilization plan in place before an emergency occurs is essential. This is part of Emergency Preparedness and Response Plan/Inter-Agency Contingency Plan, which is reviewed at least once a year, and which forms part of the Annual Management Plan. When an

emergency strikes, COs should always first redeploy available staff. COs can also request the immediate support of the regional office and divisions in Headquarters. Various options exist:

- i) *Regional Offices*: COs may request the Regional Director to deploy the regional emergency officer to assist in conducting a rapid needs assessment, which may include the need for human resources. DHR and the RO should also pre-identify staff from country offices for immediate redeployment to the COs in the region facing the emergency. Communication staff can be identified through the RO and the Division of Communication. In keeping with the CCCs, the RO should be able to deploy staff within the first 48 hours of the onset of an emergency.
- ii) *Emergency Response Team (ERT)*: COs can approach the Director of EMOPS to mobilize one or more members of the Emergency Response Team, which includes UNICEF staff experienced in emergency coordination, operations, telecommunications, human resources and supply/logistics. Normally, COs have to cover the costs of the mission(s).
- iii) *Stand-by Agreements*: Standby partners maintain rosters of qualified and experienced professionals who are trained to support humanitarian actions. In acute emergencies, standby personnel can be deployed within 72 hours. Consultants engaged via standby arrangements are provided by donor government agencies, usually at no cost to UNICEF. Current standby partners are the Danish Refugee Council, the Norwegian Refugee Council, Registered Engineers Australia and the Swedish Rescue Service Agency. More information on these arrangements is available through EMOPS Geneva.
- iv) *Global Web Roster*: External candidates listed on the Global Web Roster can be recruited to fill short-, medium-, and long-term positions, including posts vacated by staff members who accept emergency assignments. Depending on the level of preparedness of the CO, external recruitment in emergencies may be as short as 2–3 weeks. Recruitments via the Global Web Roster should be coordinated with DHR.

Coordination in Emergencies

131. Emergency operations pose particular coordination challenges. Often, many agencies wish to help at the same time. Available resources need to be allocated so that no particular population group is left out. An effective coordinating government body might be absent. All agencies should benefit from a common security and logistic system, as far as possible. Because each emergency situation is different, field staff need to closely liaise with those responsible for policies and procedures.

132. UN agencies are normally expected to coordinate the international emergency response and/or liaise with the national or local authorities. Staff need to be aware of and make use of several available coordination mechanisms.

133. ***Coordination at the country level***: The UN Country Team (UNCT) is the primary coordination mechanism for all activities of the UN system in an emergency. The UNICEF head of office is responsible for ensuring that UNICEF support is well-coordinated with the other UNCT members.

134. The Cluster Leadership Approach was welcomed by the Inter-Agency Standing Committee (IASC) in 2006 as a mechanism that can help to address identified gaps in response and enhance the quality of humanitarian action by strengthening partnerships between NGOs, international organizations, the Red Cross and Red Crescent Movement. It is part of a wider reform process aimed at improving the effectiveness of humanitarian response by ensuring greater accountability, predictability and partnership. More detailed information about the IASC and the humanitarian reform process can be found on the IASC web site (<http://www.humanitarianinfo.org/iasc>).

135. UNICEF has been nominated Cluster Lead for the Water-Sanitation-Hygiene and Nutrition clusters; and co-leader for Emergency Telecommunication on Common Data Services. UNHCR is the global lead for the Protection Cluster. However, at the country level, under the overall leadership of the HC/RC, the three core protection-mandated agencies (UNHCR, UNICEF and OHCHR) should consult closely and agree which of the three would assume the role of Cluster Lead for protection either on the basis of existing arrangements or after conducting a common assessment to determine the required operational capacity.

136. The coordinating agency inter-acts with national or local authorities and other agencies to ensure that the needs of the sector are assessed and addressed, that information is shared and reports are prepared. Cluster coordination goes well beyond a typical UNICEF-assisted programme or area of involvement.

137. Where the local or national government is able to coordinate the humanitarian response, the coordinating agency plays a supporting role. Where the government is not able to provide this coordination, UNICEF may do so but will encourage government to take on ownership of the emergency response.

138. **Coordination at the global level:** Several mechanisms have been put in place to ensure a coordinated response to emergencies within the humanitarian community and the UN system. These involve the Office for the Coordination of Humanitarian Affairs (OCHA), the Executive Committee on Humanitarian Affairs (ECHA), the Inter-Agency Standing Committee (IASC) and Integrated Mission. Details on the functioning of these bodies and mechanisms can be found in Chapter 6, Section 12.

139. **Coordination with Partners:** Working relationships have been established and formal agreements are available with many partners to strengthen coordination in a humanitarian response. These partners include other UN agencies (e.g. the Office of the High Commissioner for Human Rights, UNFPA, UNHCR, WHO, WFP), the International Committee of the Red Cross (ICRC), the International Federation of Red Cross and Red Crescent Societies (IFRC) and major international NGOs. Some of these working relationships are explained in more detail in Chapter 6, Section 12.

Interagency coordination – Internally Displaced Persons

140. Internally displaced children are among the most at. The process of displacement puts in danger many of the human rights guaranteed to the child in international law. Displacement frequently results in the breakdown of family and community structures, the disintegration of traditional and social norms, and an increase in single-headed households. Although they may survive the stage of displacement, internally displaced children may encounter other threats during the process of return and reintegration. It is important always to remember that the internally displaced primary responsibility rests with national authorities since IDPs remain under the jurisdiction of their **national governments**.

141. The UN Secretary General has tasked the Emergency Relief Coordinator (ERC) with ensuring that the protection, assistance and recovery needs of internally displaced people are addressed. The ERC is the chair of the Inter-Agency Standing Committee (IASC) of which UNICEF is a member. The UN Humanitarian Coordinator or Resident Coordinator is ultimately accountable for support to the protection and assistance to IDPs.

142. The [revised IDP Policy Package](#) adopted in 2004 by the Inter-agency Standing Committee is a policy instrument designed to improve the “**collaborative response**” of international agencies on the ground and to strengthen the implementation of the [IDP Guiding Principles](#). The “Collaborative Response” is an approach to IDP issues, that involves a broad range of humanitarian and development actors that are called upon to respond to the needs of displaced people on the basis of agency-specific mandates and expertise, rather than having a designated "lead agency" for IDPs.

143. The Inter-Agency Internal Displacement Division is mandated to strengthen the overall UN system's response to IDPs at global and country levels. It also supports field response in IDP crises as implemented by IASC members and the Office of the Coordination of Humanitarian Affairs (OCHA) under the leadership of Resident and Humanitarian Coordinators. Like the ERC and OCHA, the Internal Displacement Division does not have an operational mandate.

144. In 2004 the UN Human Rights Commission adopted a new mandate for the UN Secretary-General's Representative on IDPs, putting more stress on the human rights aspects of his/her work. In addition, regional mechanisms include the African Union Special Rapporteur on Refugees and Internally Displaced.

145. **UNICEF** works to help ensure the survival, protection and development rights of displaced children, guided by the Convention on the Rights of the Child, the Guiding Principles on Internal Displacement and other international human rights instruments. In addition, UNICEF strives to alleviate problems that host communities may face, such as overcrowded schools, and pressure upon local basic services. In doing so, UNICEF works in close partnership with the United Nations High Commissioner for Refugees and other international and local organizations.

Additional Guidance Material for Programming in Unstable and Crisis Situations

146. Specialized resources are available to staff facing humanitarian response situations. These publications have been made available in hard copy and/or CD to all offices, and can also be requested from EMOPS. They include:

- *Emergency Field Handbook*: a tool for the UNICEF practitioner. Explains *what* needs to be done and *how* to do it, with extensive checklists and guidelines covering the programme areas and operational functions identified in the CCCs.
- *Emergency Preparedness and Response Training Programme* : Covers the human rights based approach to programming in emergencies, preparedness, rapid assessment, programming in crises, protection from sexual abuse and exploitation, supplies and logistics, working with inter-agency partners, dealing with the media, resource mobilisation, finance and administration, security and stress management (*also available through the Emergency Portal of the Learning Web*).
- *A Principled Approach to Humanitarian Action Training Programme (PATH)*: Examines humanitarian principles by exploring the practical challenges and dilemmas facing UNICEF staff working in complex emergencies. Covers the international legal framework applicable in conflict situations, such as international human rights, humanitarian, refugee and criminal law, and Security Council Resolutions. Looks at UNICEF's advocacy role, working with internally displaced persons and refugees, child soldiers, sexual exploitation and abuse, and engaging with non-state entities. (*Also available via <http://www.unicef.org/path>*).
- *Technical Notes: Special Considerations for Programming in Unstable Situations* Provides technical guidance on the design and implementation of specific programmes and activities.
- *A Humanitarian Negotiations with Armed Group Manual: Provide a structured approach to humanitarian negotiations with armed groups in a clear and user-friendly manner.*
- *Training on Humanitarian Negotiations with Non State Entities*, based on the above mentioned manual, this training aims at building the skills of UNICEF/UNCT staff to conduct humanitarian negotiations with NSE.
- *Pocketbook of Emergency Resources*: Booklet describing emergency training materials, life saving supplies, programmatic guidance and staff support from UNICEF and other humanitarian sources.

Section 3. The Programme Manager System (ProMS)

Basics

147. The Programme Manager System (ProMS) is the software used by UNICEF field offices to plan, support and report on programme implementation and monitor the Country Programme and how its results are contributing to the UNDAF Outcomes. ProMS transactions follow standard business processes in relation to programme planning, budgeting and financial management. These business processes are based on the accountability principles, including the segregation of duties, which are later explained in this section. Provided users are familiar with those principles and business processes, ProMS is an effective tool that facilitates rapid transactions and provides for readily available oversight and reporting.

148. ProMS links all requisitions, obligations and financial transactions to the budgets of the AWP's and, more broadly, to the CP structure as approved by the Executive Board. The system is designed to ensure that the use of funds is authorized only for activities that directly contribute to the achievement of results as jointly agreed upon between the Country Office and the cooperating partners. The ProMS Outline provides a hierarchical relationship of activity results, AWP's, CPD result matrices and UNDAF Outcomes.

149. All programmes, AWP's, activities, allocations and requisitions are required to be correctly coded according to the standardized Programme Information Data Base (PIDB) coding list. ([See hyperlink.](#)) This facilitates the local and global aggregation of programme and expenditure data and reporting on the implementation of the Medium Term Strategic Plan to donors and the Executive Board.

150. All programme data and records of local transactions can be 'seen' immediately via the Local Area Network. This facilitates real-time monitoring, for instance of expenditure status, the status of any transaction, or where a certain transaction is hanging. The country level replications are captured in the daily updates of budgets and expenditure records in the financial database at Headquarters. ProMS is being further developed to enable the almost real-time display of expenditure incurred by other offices on behalf of the Country Offices (e.g. for supplies or international staff).

151. ProMS reduces the need for paper copies in transactions, though some documents (e.g. contracts or vouchers) still need to be made available in hardcopy to third parties. All authorizing, certifying, approving, and 'signing' steps of a transaction are carried out electronically, while some documents still require an additional signature on the hardcopy. Therefore, it is essential that all staff involved at any time in a budgetary or financial transaction are thoroughly familiar with ProMS, including the Representative and Senior Programme Officer, as well as programme assistants and, in most cases, secretaries. Similarly, all staff expected to conduct transactions in ProMS are expected to be thoroughly familiar with the underlying business processes and key financial rules and regulations.

152. Each action taken in ProMS is recorded and can be linked to a specific user via their password. It is essential that confidentiality and individual ownership of passwords be preserved at all times to maintain accountabilities and to avoid undue delegation of ProMS access privileges.

The Budget Process in ProMS

153. The following provides an overview of the main programming steps carried out in ProMS.

154. The Annual Work Plan (AWP) is developed at the end of the year, or very early in the New Year. AWP's can be developed directly in ProMS. If an AWP is agreed on paper during a planning meeting with government and other partners, the information is transferred, through the Planning Outline, into the ProMS database. The content of an AWP is described in Section 1 of this Chapter.

155. AWP's assign a specific budget to each activity. Programme partners use these activity descriptions and budgets to request the release of cash transfers, supplies or equipment. Budget allocations are made at the AWP level and activity requisitions may also be funded directly from allocations made at AWP level.

156. The programme officer will, in ProMS, identify and reserve, at the AWP level, the funding source or programme budget allocation (PBA) that will be used to finance activities listed in the AWP. A staff member designated as an Authorizing Officer will authorize this reservation of funds, once he/she is convinced that the use of the particular funding source is appropriate for carrying out these activities, and that the reserved amount meets the stipulation of the AWP as agreed with partners. To avoid frequent changes and amendments of the AWP, it is necessary to undertake comprehensive planning with partners including detailed costing of the activities to ensure that the figures agreed upon are realistic. This also prevents the inadvertent movement of funds among activities, and ensures that the funds are still available when the activities are ready to be carried out. It is expected that, following the signing of AWP's and their authorization in ProMS, all available funds are reserved at the beginning of the year.

157. The project officer then creates requisitions from the activity level of the planning outline. There are four types of requisitions:

Cash Requisition (CRQ): A cash requisition is raised to prepare and obligate the funds for disbursement. This requisition type includes direct cash transfer, cash contingency, direct payment, payroll, and reimbursement. For details on cash transfer modalities, see [Financial Circular no. 15 \(Revision 3\)](#).

Supply Requisition (PGM): A supply requisition sets out the supply items and costs and is used to initiate procurement of supplies and equipment for UNICEF assisted programmes and office administration, procurement services partners and staff.

Contract (SSA): A contract or service requisition provides a summary description of the Terms of Reference, deliverables, mode of payment, standard and special conditions that apply, dates and budgets for a consultant or service provider. There are two types of Contracts: institutional and individual, and these are further categorised into international and local contracts.

Travel Requisition (TA): A travel requisition includes the name of the traveler, purpose of travel, and destination. A staff member designated as an authorising officer will

authorise such requisitions, once he/she is convinced that the type and costs of the inputs are needed to carry out the activity.

158. After creating a requisition, the Office creates an *obligation*, or a document that constitutes a commitment by UNICEF towards a third party. In the case of cash and travel, once the requisitions are authorised, they become obligating documents. For Supplies and Services, obligations take the forms of Purchase Orders and Contracts. Obligating documents add the name of the third party, once selected, to the requisition, and are signed by a designated staff member, once he/she is convinced that a proper selection process for the provider of goods and services has taken place. (Also see paragraph 138 below)

159. Following the provision of the goods or service and the submission of an invoice or payment request, a staff member designated as a certifying officer will certify that the invoice is correctly calculated and is in accordance with the amounts and terms stated in the obligating document. (Also see paragraph 139 below)

160. The same staff member, who authorised the procurement of the input, now reviews the certified invoice and supporting documentation for approval of the payment. (Also see paragraph 140 below) This approval is given once the staff member is assured that:

- the request for a cash payment is justified, and based on previously authorised and signed agreements;
- the supplies were delivered in the right quantities and specifications as ordered; the service was provided as contracted; or
- that the travel took place as planned, as evidenced by a trip report.

161. The documents are forwarded to a staff member who is responsible for preparing a payment voucher, thereby linking the payment to the obligating documents. By signing the Payment Voucher, he/she confirms that all documentation is complete. Finally, a cheque or bank transfer is prepared. The paying officer confirms with his/her signature that it is a correctly recorded and valid payment. (Also see paragraph 141 below)

162. If a payment was given as an allocation of Direct Cash Transfer (DCT), and though the payment is recorded as expenditure, the monitoring record is not closed pending submission of FACE to report on the utilization of cash received. Based on receipt of this evidence, the Programme Coordinator or Programme Officer authorises the recording of the expenditures accepted by Agency and the Operations Officer or Finance Officer verifies the liquidation is acceptable for posting. ([See Financial Circular 15, Rev.3](#)). However, if a payment was given as an allocation of Cash Assistance to Government (CAG), the submission of detailed accounting documents, receipts and narrative reports, as originally agreed upon, is required to close the monitoring record.

Accountability and Financial Control Mechanisms

163. Accountability of all staff members is established in [Financial rule 103.1](#): “All officials shall be accountable to the Executive Director for the regularity of actions taken by them in the course of their official duties. Any official who takes action contrary to the regulations, rules or

administrative issuance may be held personally responsible and financially liable for the consequences of such actions”.

164. While implementing programmes and conducting transactions, staff members need to take different actions in ProMS. These include the drafting of documents, editing, finalising, authorising, certifying, approving, signing, paying, closing and forwarding them. [Financial Circular 34](#) establishes the four *Financial Control Points* for the procurement of any cash, supplies, services, or travel inputs. These are Authorizing, Certifying, Approving, and Paying. The Table of Authority (ToA) assigns staff members to these functions.

165. *Authorising*. A staff member responsible for a budget item authorises the commitment of UNICEF funds, confirms that funds are available and that the request is part of the approved AWP. Authorisation is required prior to any obligation of UNICEF funds. If at a later stage a procurement or contract has been found to be unnecessary (e.g. unnecessary procured supplies, unnecessary service of consultant, unnecessary travel by staff), the authorizing officer is accountable. In ProMS 7.0, reservation of funds is done at the AWP level. Authorisation is required for the reservation of funds at AWP level, and for requisition at activity level. Authorisation of a reservation of funds confirms that the selected contribution can be used to finance the proposed activities in the AWP. Authorisation of a requisition confirms that the activity may be carried out.

166. *Certifying*. In case of supplies and contracts, a person will confirm that goods or services have been delivered and confirms that the invoice is correct, and has not been paid already. The person must not be the same individual as the one who authorised the AWP. If it is found at a later stage that a payment was made based on certified invoices and an approved payment request but the actual quantity of the goods or services received was not in accordance with the obligating document (e.g. purchase order, SSA), the certifying officer is accountable. Certification is done manually on the invoice or delivery note, and is recorded in ProMS. In the case of cash assistance or cash transfers, the person has to confirm that the request is in conformity with estimated expenditures as per AWP and itemized cost estimates agreed upon. The person must not be the same individual as the one who authorised the AWP.

167. *Approving*. A person will approve a payment request, confirming that the goods or services (based on the completed certification) agree with the original authorization, and that the charges are acceptable. It is important that the person knows what was originally authorized, to be able to judge whether to proceed with a payment or not. In the case of supplies or contracts, the person who originally authorized the procurement of the goods or services is the best person to confirm that the procurement has taken place according to what was authorized and payment can be made. In the case of cash assistance or cash transfer, the person who originally authorized the requisition is the best person to confirm that the request payment is within the authorized activities of the AWP. It makes sense, therefore, that the authorizing and approving officer is the same person.

168. *Paying*. A payment requires signatures from two members of the signature panel, who must not be the approving officers. They must examine all necessary documents, and confirm that all financial rules were followed. A payment is effected through a (manual) signature on the cheque or bank transfer and the payee is informed. In case of cash transfers, the implementing partner is informed and acknowledges receipt of funds.

169. The purpose of UNICEF financial controls is to define the responsibilities of specific individuals for the control over commitments and use of UNICEF funds. The assignment of financial controls includes the establishment of a segregation of duties among staff in the input procurement process. The work of one staff member is always reviewed by a different staff member in the next step of the work process, to identify errors, identify inappropriate actions, and protect staff from any appearance of improper use of UNICEF resources. In particular:

- The approving officer must not be the certifying person, in order to prevent a person approving a payment for goods or services that have not been received or activities not within their approved budget levels in the AWP.
- The approving officer must not be the paying officer, in order to prevent the release of funds for goods or services that have not been received or activities not within their approved budget levels in the AWP.

In practice, this means that documents need to be electronically ‘workflowed’ in ProMS from one person to another.

Segregation Of Duties

170. The key aspects of a segregation of duties are:

- No one individual (or related individuals) has total control over more than one phase of the transaction process (Authorising, Purchasing, Receiving, Paying for goods and/or services).
- Work flow proceeds from one person to another so that, without duplication, the work of the second verifies the appropriateness of the work of the previous steps in the process.
- Those who authorise the procurement or release of assets are not responsible for their custody.
- Record-keeping and bookkeeping are separated from handling and/or custody of assets.

171. By having more than one person involved in the procurement, custody and accounting processes of a transaction, it is very difficult for an inappropriate release of funds or goods to go undetected. Efforts to misappropriate resources can be identified before they result in losses to UNICEF.

172. If an office is so small that it does not have enough staff to divide responsibilities in a manner that would otherwise be prudent, alternative control mechanisms can be established. A limited segregation of duties—combined with preventive and detective controls—may provide effective internal control. In this case, proper segregation would include at least three staff involved in every transaction.

173. Detective controls identify an erroneous or inappropriate transaction or activity after it has occurred. The review and reconciliation of departmental records with ProMS reports and the analysis of Exception Reports are examples of detective control.

Document Authorization Table (DAT)

174. The Document Authorisation Table (DAT), in ProMS, assigns authority to staff members, to perform authorising, certifying, approving, and signing functions, in accordance with the stipulations of [Financial Circular 34](#), and the Table of Authority (TOA). The DAT allows for the assignment of financial authorities to different financial levels for each staff member. This helps the office customise authorities taking into account different staff levels and experience. The DAT also lists all other functions required for a transaction, including drafting, finalising, forwarding, and closing. These functions are normally agreed upon and signed by the Head of Office in the [Table of Authority](#). Any amendments to the DAT are based on changes made in the TOA.

175. Many complaints from staff about spending undue time with ProMS administration, and audit observations about non-implementation of financial controls, have to do with an unclear assignment or inadequate distribution of responsibilities and authorities. A workshop tool for the establishment and analysis of an office's financial controls in ProMS can be found at [OIA Self Assessment Guidelines](#). The findings of the self-assessments should be reviewed by a larger group such as the CMT, which would agree on measures to further strengthen office performance. The following are some suggestions for defining authorities:

- Drafting of documents can be delegated to programme assistants or junior staff. The project officer only checks the correctness of the document, before finalising it and sending it for authorisation or approval, or approving it him/herself as appropriate.
- Not everything needs to be approved by the SPO or Representative. The CMT can recommend delegating authority to other staff, possibly starting with low financial ceilings. Authority is increased, as and when management gains confidence that the staff are exercising their responsibility diligently and responsibly.
- Authorising, approving, certifying and signing responsibilities should be given to those who best understand what they are authorising. For instance, it does not make sense to ask the SPO or Representative to approve payments of Travel Claims, as neither of them may be in a position to judge whether the calculations were done properly. Even if they could, it would not make the best use of their time.
- Proper delegation of responsibilities in ProMS, rather than sharing passwords, is the only correct way to distribute workload evenly.

176. The Representative approves the details of the DAT in writing to the ProMS System Administrator, preferably based on the TOA as discussed and recommended by the CMT. Only the System Administrator is able to make changes to the DAT. Any change in the DAT needs to be authorized in the TOA by the Representative or Officer-in-Charge. Changes can be for the period up to the end of the Country Programme (e.g. after the arrival of new staff), or temporary for specific time periods (e.g. to pass on certain authorities to OICs).

177. ProMS can also restrict budget and planning functions to staff member belonging to a relevant programme or other user groups and whose names have been included in the corresponding staff tab folders of the planning outline. However, it should be noted that this mechanism does not restrict staff members in exercising their financial control responsibilities governed by the DAT. For example, an officer with budget planning authority in one programme

can also authorise requisitions in other programmes. This facility is both a convenience and a risk.

178. Delegation of responsibilities must be accompanied by periodic monitoring and reporting of their fulfillment by the senior staff in the office. This will ensure that the functions continue to be carried out responsibly, so that Representatives can fulfill their defined role as “the sole officer accountable to the comptroller in all financial administration of the country office” (as per the Representatives’ generic job description).

More ProMS Features

179. ProMS does not allow reservation of funds that have expired. Expiry dates of contributions are readily accessible, as well as reporting obligations. Programme assistants can be given the task of regularly reminding programme officers to review expiry dates and reporting deadlines.

180. The most readily available ProMS tool to assess the status of financial implementation is the “Financial View”. It provides, at different levels, an overview of programmes, AWP and activities, including the sums of requisitions, obligations and expenditure. It is particularly useful to track left-over funds from under-spent obligations, requisitions or activities.

181. Any staff member can instantly check the status of an individual transaction. A document that was passed on (or “workflowed”) to another staff member for action remains in the electronic out-tray of the staff member until it is acted upon.

182. The proper use of the Programme Information Database (PIDB) coding in ProMS at the activity and programme level provides UNICEF with the means to report on the allocation and use of funds against MTSP Focus Areas and key result areas. As part of an organization committed to demonstrating results of assistance, all staff are required to carefully use the PIDB codes in ProMS to enable UNICEF to report on the use of resources. Poor coding hampers UNICEF’s ability to accurately report on allocations and expenditure. Staff should be assigned to periodically verify the correctness of applied codes. At the programme level, use the focus area codes; at activity level, use target codes; and, at requisition level, use specific and generic intervention codes. The office may also monitor the use of the codes through the PIDB monitoring tool. See [Guidelines for the Revised PIDB Coding System](#) for coding at programme component, activity and requisition levels in line with MTSP 2006-2009.

183. The Briefing Book is a local ProMS reporting facility that allows the creation of complementary reports by programme, budget, supply or other categories. Other monitoring tools are the COGNOS Reports, which provide summary or more detailed reports for review by management to assess programme or project implementation at a glance. These are especially useful for Regional Offices in exercising their oversight responsibilities in relation to Country Programme performance.

Section 4. Good Practices in Annual Work Planning

184. This Section describes key considerations and suggests good practices when developing Annual Work Plans (AWPs). It also deals with the need to formulate well-defined (SMART) results, how to identify suitable operational strategies and activities, and how to arrive at realistic budgets.

185. Following the UNDAF Annual Review, UNICEF staff, Government and other programme partners develop annual work plans for the following year. The format of the AWP as described in Section 1 of this Chapter must be followed to ensure that the needed data, including budget figures, can be processed in ProMS. However, the AWP format should not be mistaken for a template that merely requires the inserting of sketchy ideas. Only a sound annual planning process will ensure that the combination of activities will lead to the planned results. Only an AWP that describes outputs, activities and responsibilities in detail will allow UNICEF staff and programme partners to mobilize the necessary inputs on time, and ensure that the outputs resulting from activities can be attained by the end of the year. It may be useful to also include necessary activities that will be carried out by partners without requiring a UNICEF input. This will increase buy-in by partners, and ensures that progress of these activities will also be monitored and reported.

186. The more planning work is done in December of the preceding, or latest in January of the current year, the more time programme staff will have to monitor implementation, including through field visits, or to contribute their technical expertise for the development of policies, knowledge generation, or for building capacity among programme partners.

Key considerations when developing AWPs

187. *Learn from prior years' work:* the outcome of the UNDAF Annual Review or Mid-Term Review should directly lead to the formulation of next year's plans. The UNDAF Annual Review would usually highlight the findings of any evaluations completed during prior years, which should be carefully considered.

188. *Relate to the planned results and strategies described in the CPAP:* annual work planning must not attempt to redesign the Country Programme. Activities must contribute to the planned outcomes of the CP (with modifications made at the Mid-Term Review, if any). Proposed activities should reflect the country programme strategies, and as much as possible link to and benefit from synergies with other projects.

189. *Establish clear UNICEF priorities before meeting partners:* as in any meeting, it is good to know beforehand what one would like to get out of it. It is rare that all partners have exactly the same ideas on how to use available resources, and UNICEF staff should be prepared to promote UNICEF positions. For instance, negotiation positions could include whether a certain piece of work should be done by the programme partners, or whether a consultant needs to be hired; whether training should be conducted through (possibly expensive) residential workshops, or on-site; whether activities can be financed by Government, or need to be assisted by UNICEF, or may

be supported by other donors. Programme staff should also continue to promote crosscutting issues (e.g. gender concerns).

190. *Be Realistic*: consider the status of last year's implementation. If an activity moved too slowly during the previous year, something different probably needs to be done this time round. Limited funding should lead to prioritisation among several potentially good activities. Shortage of staff, for instance caused by vacancies due to lack of funding or other reasons, should lead to selection of objectives and activities that are less staff-intensive.

191. *Include Monitoring and Evaluation Issues* specific to the project: discuss and indicate how activities will be monitored, and by whom, and how the findings of such assessments will be discussed. Define the frequency of field monitoring visits, and the involvement of partners in monitoring activities. Include as activities any planned research or evaluations and budget for staff time and funds accordingly. Support to Situation Analysis, country analytical work, an MTR or preparation of a new CCA, UNDAF and Country Programme should be included in the AWP, as appropriate.

Formulating SMART Annual Results

192. The attainment of outputs should directly depend on the satisfactory completion of the scheduled activities, and not on the contributions of agencies which are not part of the Annual Work Plan itself. Before deciding on the expected output, the available resources, including those from Government and other partners must be carefully considered. It is also a good idea to separate in the same AWP those results - and activities leading to their attainment - which are already funded, and those for which funding is still expected or sought. This will prevent a situation where work starts on several areas without having the resources to complete them.

193. To ensure a focus on results, "change" language, and not "action" language should be used when preparing AWP. This avoids formulating outputs that only reflect a set of completed activities. Change language is more likely to clarify the place of the output in the wider results chain, leading to the attainment of key results for children over the full programme period. It also sets more precise indicators for success:

Action language: Output 1: Prepare interactive curriculum;
Output 2: Train 50 teachers;
Annual objective: 50 teachers trained in new interactive curriculum.

Change language: Output 1: New interactive curriculum ready for implementation; *this formulation recognizes that after preparation other steps (such as approval by an expert group) might be necessary: perhaps additional activities should therefore be added.*
Output 2: 50 teachers oriented on new curriculum; *whether this is done through training workshops, on-the-job training, distant learning or a combination of all of these will be clarified through the activity description.*
Annual result: 50 teachers know how to teach interactively. *This "change" will only materialise if the curriculum was of adequate quality, and if the training methodology was successful!*
Next result in result chain: Next year's result is to ensure teachers actually apply what they know. It could be achieved through an effective supervision system that also checks whether interactive teaching is applied. The results chain leading to better learning achievements by children is clear.

194. Effective annual AWP's will have SMART planned results (also refer to [Chapter 4, Section 1](#)):

- S** **PECIFIC:** the result is clearly stated and described in change language, with as much detail as possible, leaving little room for confusion among different programme partners;
- M** **EASURABLE:** an assessment is possible to decide whether the result has been achieved, if possible in a quantifiable way. Qualitative assessments of results may also occur;
- A** **CHIEVABLE:** the result can feasibly be attained by the programme partners with UNICEF support. All necessary resources are budgeted for and allocated. There are no major external factors, assumptions or risks;
- R** **ELEVANT:** the expected annual result represents a milestone, or intermediate result in the chain, leading to the strategic results for children and women, as described in the CPAP;
- T** **IMEBOUND:** the achievement of the results does not require an open-ended activity. There is an expected date of accomplishment, usually by the end of the year. For multi-year activities, suitable milestones should be defined.

Determining the course of action

195. At the level of the AWP, strategies take a more practical focus by identifying a few key thrusts or interventions around which UNICEF and its partners will organise their resources. The selection of activities needs to be consistent with overall programme strategies. For instance, if the CPAP selected a strategy to identify good household care practices for young children through participatory research, the hiring of an external consultant to produce guidelines for improving care practices would be a questionable activity on its own.

196. Programme managers need to foresee the phasing and progression of activities, identify the relationships between them and how they combine for the best chance of achieving the planned results. A clear 'operational strategy' provides an understanding of the scale and types of resource allocations that programme partners are willing to make available. For instance, in a project with the five-year objective of exposing 80 percent of all adolescents to a life skills course through peer education, the result of the first year may be to have a set of course materials, prepared with the inputs of young people. The operational strategy defines, for instance, how many adolescents should be surveyed to establish the present knowledge about sexual health, whether or not it is necessary or possible to organize consultation meetings with young people in *all* regions, whether a consultant or the curriculum development agency will draft the course materials, that an inter-ministerial task force needs to review the manual before it is pre-tested by young people, and so on.

Defining activities and budgets

197. Well-defined activities in the agreed AWP greatly facilitate the procurement of the necessary inputs and requests for disbursements by programme partners, and reduce the need for ongoing clarification or renegotiations during the course of the year.

198. Each activity should be described as precisely as possible in the AWP, and should leave no uncertainty as to:

- **Who** is responsible for carrying out this activity?
- **What** exactly will be done?
- **Where** is the activity going to take place?
- **When** will the activity start and end?
- **With what?** What human or financial resources are being committed?

Even if it seems to be clear to all participants at the planning meeting what has been agreed, this clarity tends to fade if not clearly recorded in the AWP.

199. Ambiguities can be avoided by fully describing the activities (e.g. instead of: “health planning workshop”, write: “Director of PHC to organise 3-day meeting in July, in Blantyre, for all 25 DHOs to agree on the format and components of each District Work plan, to ensure immunisation outreach to all communities”).

200. Aside from pinpointing responsibilities, a detailed description of activities also helps to identify their estimated costs. Well-considered budgets help to avoid under-expenditure (when funds are tied up and reserved for activities that, eventually, cost much less to implement), and ensure that activities can be completed without time-consuming renegotiations and transfers from other sources. While it is not necessary to exactly define all the inputs during the AWP planning session, the ProMS input categories help break down costs and arrive at more realistic budgets:

For instance: Prepare video on gender-based violence for viewing in schools.

- o Service Contract for desk review and participatory research on perceptions and causes of violence among girls and boys, 3 months, 2 main researchers and 5 adolescent enumerators.
- o Cash for review and consensus meeting with 25 participants
- o Travel costs for validation of research findings and film content with young people. 8 people, 3 weeks.
- o Service Contract for film production company, lump sum
- o Cash for launching events and promotion of the film
- o Supply requisition for duplication of video (1500 copies), etc...

201. ProMS generated reports are used for donor reporting. This should be kept in mind when phrasing the input description.

202. Budget discussions with programme partners should make clear that a timely request (using the standard Funding Authorization and Certificate of Expenditure format, if harmonized cash transfer procedures are applied) is needed before funds can be released or supplies ordered. UNICEF can assist by being aware of government’s and other partner’s own processes and deadlines and, where necessary, helping to develop the needed documentation.

Supply Planning

203. Early forecasting of needed commodities is important to ensure that children and women or service providers receive the right supplies at the right time through cost-effective and efficient procurement, timely delivery, and distribution. Supply planning is an essential part of annual planning. Also refer to [CF/SD/2003/002](#), and the Field Manual (Book G) Chapter 4: Supply Planning. In summary, the recommended actions are:

- Following the preparation of AWP in ProMS preferably by the end of January, enter all offshore, regional and local supply inputs.
- ProMS can create supply input reports. Review and consider using the supply input report for planning meetings with national partners. The combined supply input reports for all AWP are the country level Supply Plan.
- Export the supply input reports to Excel and send to Supply Division (SD), Customer Service and Field Support Centre, as a confirmation that the ProMS inputs are ready for SD review.
- Consider entering and saving supply inputs in "Draft" for unfunded programme components to prepare realistic cost estimates. Create and issue the supply requisitions (PGMs) when funding becomes available.

204. The sharing of such information with Supply Division will assist in ensuring the timely receipt of offshore supplies and help Country Offices to plan local and regional procurement.

PQAA Checklist – Programme Implementation Management

AWPs

- Are endorsed (and dated) AWP available for all projects?
- Were all AWP signed by March at the latest?
- Are AWP results clearly linked to those described in the CPAP?
- Are the proposed activities consistent with the overall CP strategies?
- Are decisions of the UNDAF Annual Review and/or Mid-Term Review appropriately reflected in the AWP?
- Are activities included to address identified bottlenecks (e.g. in-country logistics)?
- Do AWP clearly identify the source of funding for each activity?
- Do AWP clearly identify the implementing partner and a realistic budget for all activities?
- Do AWP mention and budget for monitoring, evaluation and research activities, including field visits, the MTR and contributions to analytical work, where relevant?
- Have AWP been authorised in ProMS by the responsible officer?

Joint Programme or Projects

- Are joint programmes or projects built on a common AWP with implementing partners?
- Have the UNDG Guidance Note on Joint Programming and CF/PRO/2004-03 been consulted when developing Joint Programmes or Projects with other UN agencies?

Annual Programme Reviews/MTRs

- Was the UNDAF Annual Review held as scheduled?
- Were *all* AWP subject to a technical level review?
- Has progress been reviewed against the planned results and activities of the AWP?
- Were review findings and recommendations agreed upon with government and recorded?
- Were major donors and NGO/CSO partners appropriately involved in the UNDAF Annual Review meeting?
- Did the UNDAF Annual Review process or MTR allow for the direct or indirect consideration of views of primary stakeholders, including children and young people?
- Did the MTR include a systematic review of progress against original planned results in the CPAP, and has the ongoing validity of the planned results been reviewed with any necessary adjustments?

Annual Management Reviews:

- Was the Annual Management Plan (AMP) updated at the beginning of the year?
- Was the CMT effective in directing office activities in support of the key results, and are minutes of the main discussion points, decisions and recommendations available?
- Did the CMT maintain attention to its TOR as described in the AMP?
- Were financial resources and staff time primarily used in pursuit of the planned results, or were there significant diversions?
- Has the Emergency Preparedness and Response Plan been updated? Does it consider supply and logistic requirements?
- Has the UN security plan been reviewed and updated, and do all staff know who their warden is and how to contact the warden in case of an emergency?

- What is the proportion of days spent by professional staff on field visits, compared to the established office standard?
- How much of the office training/learning plan was carried out; what benefits accrued from the activities and what further staff training/learning is required?
- What is the proportion of professional staff who had PPP training in the last 5 years?
- How many audit recommendations are outstanding?

Donor Reports

- Does the office use an internal quality control mechanism for donor reports?
- What proportion of donor reports were submitted on time?
- How often were donor representatives invited to, and actually visited sites of UNICEF assisted programmes or projects?
- Is it clear in the donor report that funds were spent for the purposes defined in the approved project proposal?
- Does the report provide a clear and accurate picture of how the donor contribution helped to achieve results for children and women, with careful attribution?

ProMS

- Is ProMS fully utilised for programme management, and are planned programme results and staff responsibilities included in the planning outline?
- Are all staff familiar with the concept of segregation of duties, and are authorising, certifying, approving and paying authorities clearly delineated?
- Has the Representative confirmed the Table of Authority (ToA) and Document Authorisation Table (DAT) in writing, and is the DAT only changed on written instructions from the Representative?

References and Recommended Reading – Programme Implementation Management

- [E/ICEF/Org./Rev 3](#), April 1998, The Organization of UNICEF
- [CF/EXD/2004-017](#), Guidelines for 2004 Annual reporting (updated annually)
- [CF/EXD/2004-015](#), UNICEF's Core Commitments for Children in Emergencies
- [CF/EXD/2004-014](#), Guidelines for the 2005 Consolidated Appeal Process
- [CF/EXD/2004-012](#), In Kind Assistance
- [CF/EXD/2001-013](#), Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2001-012](#), HIV/AIDS Guidance Notes
- [CF/EXD/2001-008](#), Consolidated Reporting on Emergency Contributions
- [CF/EXD/2000-003](#), Procurement Services
- [CF/EXD/MEM/2005-005](#), Revised Guidelines for the Preparation of the Country Programme Management Plan (CPMP) and Annual Management Plan (AMP)
- [CF/PD/PRO/2005-06](#), MTSP 2006-2009, CPDs to the Board in 2005 and PIDB coding
- [CF/PD/PRO/2004-03](#), UN Development Group "Guidance Note on Joint Programming": A Guide for UNICEF Staff
- [CF/PD/PRO/2004-01](#), Other Resources for HQ, Regional Offices, and Inter-Country Programmes
- [CF/PD/PRO/2003-002](#) Project Plans of Action (PPA) and Project Progress Reports in ProMS
- [CF/PD/PRO/2003-01](#), Preparation of 2003 Annual Project Plans of Actions (PPAs)
- [CF/PD/PRO/2002-002](#) Reporting Expenditures on the MTSP Priorities
- [CF/PD/PRO/2001-01](#) Revised Guidelines for CPMP and AMP
- [CF/PD/PRO/2000-06](#), National Execution
- [CF/PD/PRO/ 1998-07](#), Guidelines for UNDAF Annual Reviews and Mid-Term Reviews
- [CF/SD/2005-004](#), In-Country Logistics
- [CF/SD/2005-001](#), Supply Planning
- [UNDG Guidance Note](#) on Joint Programming
- UNDG Framework for Cash Transfers to Implementing Partners.

Chapter 5. MONITORING AND EVALUATION

1. Monitoring and evaluation (M&E) are integral and individually distinct parts of programme preparation and implementation. They are critical tools for forward-looking strategic positioning, organisational learning and for sound management.

2. This chapter provides an overview of key concepts, and details the monitoring and evaluation responsibilities of Country Offices, Regional Offices and others. While this and preceding chapters focus on basic description of monitoring and evaluation activities that CO are expected to undertake, more detailed explanation on practical aspects of managing monitoring and evaluation activities can be found in the UNICEF [Monitoring and Evaluation Training Resource](#) as well as in the series [Evaluation Technical Notes](#).

3. M&E concepts and accountabilities apply equally in developmental and humanitarian settings. While important differences are noted where appropriate, not all eventualities can be foreseen. Creative adaptation to the particular context will always be needed, including to the special stresses and requirements of crisis settings.

Section 1. Key Conceptual Issues

4. As a basis for understanding monitoring and evaluation responsibilities in programming, this section provides an overview of general concepts, clarifies definitions and explains UNICEF's position on the current evolution of concepts, as necessary.

Situating monitoring and evaluation as oversight mechanisms

5. Inspection, audit, monitoring, evaluation and research functions are understood as complementary but very distinct management tools. They can be situated along a scale, as in Figure 5.1. At one extreme, inspection and audit can best be understood as control functions. At the other research and to an extent evaluation are meant to generate knowledge. Performance monitoring, some elements of audit, and evaluation are tools to facilitate results-based management. The distinctions are elaborated in the sub-sections below.

6. The linkages of evaluation and monitoring with successful results-based management cannot be over-emphasized. Both monitoring and evaluation are meant to permit more effective decision-making, including decisions to improve, reorient or discontinue the evaluated intervention or policy; decisions about wider organisational strategies or management structures; and decisions by national and international policy makers and funding agencies. Monitoring and evaluation create a valid evidence base for making informed programming decisions. Section 5.1.2 below expands on these concepts further.

Audits

7. Audits generally assess the soundness, adequacy and application of systems, procedures and related internal controls. Audits encompass compliance of resource transactions, analysis of the operational efficiency and economy with which resources are used and the analysis of the

management of programmes and programme activities. See [CF/EXD/2005-004](#) for the Charter of Authorities and Responsibilities of the Office of Internal Audit, and [E/ICEF/2003/AB/L.11](#) on Internal Audit activities).

8. At country level, Programme Audits may identify the major internal and external risks to the achievement of the programme results, and weigh the effectiveness of the actions taken by the UNICEF Representative and CMT to manage those risks and maximise programme achievements. These are important components of results-based management. While audits may overlap somewhat with evaluation, they do not generally examine the relevance or impact of a programme, which is a key role of evaluation as described below. A Programme Management [Audit Self-Assessment Tool](#) is contained in Chapter 6.

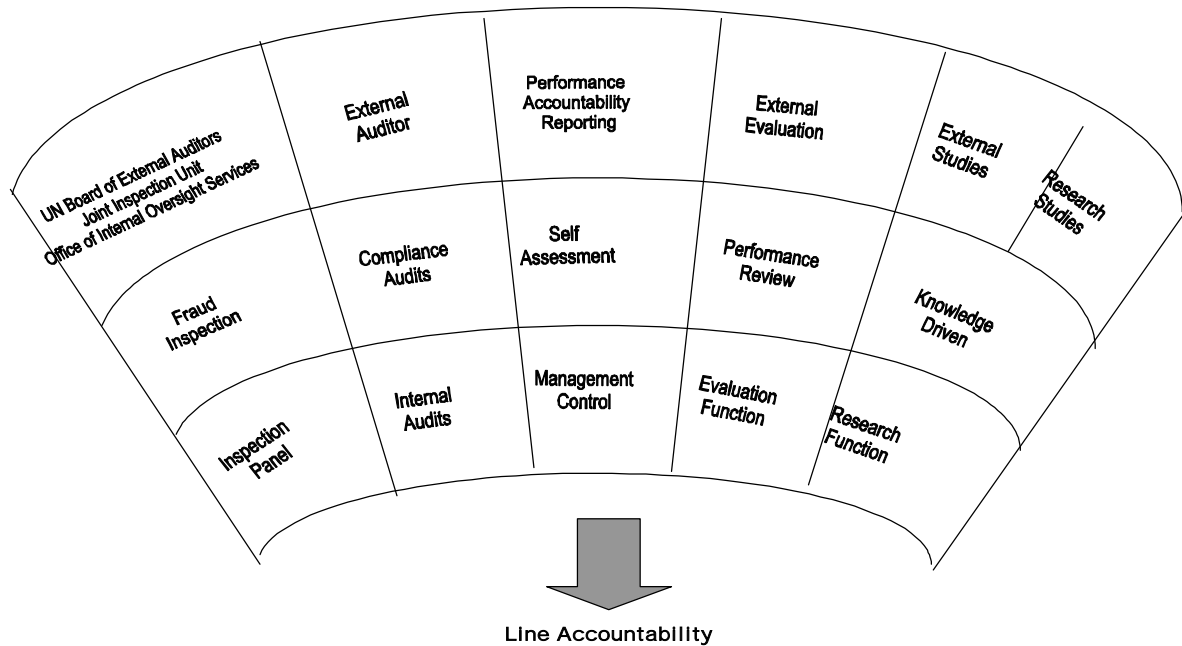
Monitoring

9. There are two kinds of Monitoring:

- **Situation monitoring** measures change in a condition or a set of conditions or lack of change. Monitoring the situation of children and women and goals such as the MDGs is necessary when trying to draw conclusions about the impact of programmes or policies. It also includes monitoring of the wider context, such as early warning monitoring, or monitoring of socio-economic trends and the country's wider policy, economic or institutional context. UNICEF is broadly engaged in situation monitoring using the CCA and Situation Analysis, DevInfo, and MICS among other tools.
- **Performance monitoring** measures progress in achieving specific results in relation to an implementation plan, whether for programmes, strategies, or activities. It is core accountability for effective work planning and review.

10. These two types of monitoring feed into two types of evaluations. Impact evaluations measure the results of programmes or policies on children, their families, and their communities. Situation monitoring tools provide the measures of change in children's lives; thus, situation monitoring is a critical input to effective impact evaluation, including for the Millennium agenda and its goals. Process evaluations measure the quality and efficiency of the programme –whether it is well organized, meeting its activity and output targets, adequately participatory, etc.

Figure 5.1 Oversight activities



Evaluation

11. Evaluation is an exercise that attempts to determine as systematically and objectively as possible the worth or significance of an intervention, strategy or policy. The appraisal of worth or significance is guided by key criteria discussed below. Evaluation findings should be credible, and be able to influence decision-making by programme partners on the basis of lessons learned. For the evaluation process to be 'objective', it needs to achieve a balanced analysis, recognise bias and reconcile perspectives of different stakeholders (including primary stakeholders) through the use of different sources and methods.

12. An evaluation report should include the following:

- Findings— factual statements that include description and measurement;
- Conclusions – corresponding to the synthesis and analysis of findings;
- Recommendations –what should be done, in the future and in a specific situation; and, *where possible*,
- Lessons learned – corresponding to conclusions that can be generalised beyond the specific case, including lessons that are of broad relevance within the country, regionally, or globally to UNICEF or the international community. Lessons can include generalised conclusions about causal relations (what happens) and generalised normative conclusions (how an intervention should be carried out). Lessons can also be generated through other, less formal evaluative activities.

13. It is important to note that many reviews are in effect evaluations, providing an assessment of worth or significance, using evaluation criteria and yielding recommendations and lessons. An example of this would be a Mid Term Review of the UNICEF-supported Country Programme

(discussed in detail in Chapter 4). Country offices should employ evaluation concepts and approaches during reviews as well as when evaluations are discrete activities.

Research and studies

14. Research, studies and evaluations draw on the same sets of methodologies and thus have the same concerns for independence, rigour, and quality standards. All must provide valid evidence for the decisions they will influence. Choices of scope, model, methods, process and degree of precision must be consistent with the questions that the evaluation, study or research is intending to answer.

15. In the simplest terms, an evaluation focuses on a particular intervention (project, programme, strategy, or broad policy) or set of interventions, and results in an analysis of performance or impact compared to some measure of effectiveness. An evaluation explains as much as possible why the changes have occurred. It is also relevant to pitch a level of higher-quality analysis than what is normally possible to do, e.g. support to the recent series of articles in the Lancet on child development and child nutrition, and others.

16. Research and studies are targeted efforts to develop new knowledge. They tend to address a broader range of questions, often dealing with socio-economic conditions and causal analyses that serve as a reference for programme design. A Situation Analysis or CCA thus fall within the broader category of “research and study”.

17. Research, like monitoring, is closely linked at times to evaluation. For example, baseline surveys provide the measurement base for an evaluation to determine impact. Also very important is “operational” or “action-oriented” research to test parts of the programme design. It often takes the form of intervention trials (e.g. *Approaches to Caring for Children Orphaned by AIDS and other Vulnerable Children – Comparing six Models of Orphans Care, South Africa 2001*). More generally, pilot projects are a combination of targeted research and evaluation ([See also Chapter 6, Section 18 on Piloting](#)). While not a substitute for evaluation, such research can be useful for improving programme design and implementing modalities.

Purposes of monitoring and evaluation

18. There are 5 essential purposes that M&E fulfils at regional, national and sub-national levels. These vary according to programme content, counterpart interests, among many other factors.

Informing Decision Making

19. By gathering and assessing information on organizational and programme performance, M&E permits managers to base their decisions on relevant, valid, comprehensive, and up-to-date data. This is a need at all levels of programming and is particularly important during review exercises and programme design processes.

National and global learning

20. M&E efforts based good programme design ultimately answer the questions “What works?” and “What does not work?” Understanding what works and ensuring that the lessons learned are disseminated to national and global knowledge networks (internal and external) helps accelerate learning, avoid error and improve efficiency. It is important to harvest the rich evidence base, particularly resulting from innovative programming areas where the quality of the evidence about what works is still too little and/or uncertain. For example, the growth in programme cooperation for Child Protection presents opportunities for well executed evaluations to influence programme strategy choices at the global level.

21. The value of lessons learned from good M&E practices goes beyond programme design. These lessons provide the basis for broader advocacy to strengthen policies and programmes through impartial and credible evidence. Evaluations of successful pilot projects provide the necessary rigor to advocate for scaling-up with partners and/or to leverage other investments or key policy changes.

Accountability

22. M&E also serve accountability purposes. Performance monitoring helps to establish whether accountabilities are met for implementing a programme plan. Evaluation helps to assess whether accountabilities are met for expected programme results. Global monitoring of the situation of children and women assists in assessing whether national and international actors are fulfilling their obligations and commitments in ensuring the realisation of human rights and the Millennium Declaration/MDGs.

23. As a result of M&E -provided analysis, decision makers may make choices that shift resources, close down or expand programmes. It may also influence adjustments in staffing levels and duties, and determine where UNICEF and others have comparative advantages for new programme areas.

24. Increasingly, evaluation processes are used that foster wider participation, ensure dialogue, build consensus, and create “buy-in” for recommendations. Involving stakeholders and rights-holders in M&E activities can be tremendously empowering, imparting skills, information, and self-confidence. It can also help participants become effective advocates and learners. Employing M&E as a programming strategy to achieve empowerment can be very effective, and can also support the other purposes of M&E.

Capacity development

25. National partners expect that their national M&E capacities be strengthened as a result of the UNICEF presence; independent of the value that M&E brings to programme management and learning needs. As with empowerment, M&E can be a programming strategy with specific goals for developing sustainable national capacity. UNICEF has a long history in this area, including building sectoral information systems, DevInfo, MICS, national evaluation associations, Social Observatories and other innovations.

Evaluation criteria and the issue of attribution

26. In recent years, the evaluation profession has defined more clearly its role and values, especially in international development programming. These now guide all of UNICEF's evaluation efforts. They are specific enough that staff can employ them in designing and overseeing evaluations. Familiarity with them is a basic accountability of all staff with responsibilities in this area.

Evaluation criteria

27. The most specific set of guiding criteria are those of the OECD-DAC countries. Adopted by UNICEF and almost all other development actors in the 1990s, the standard [OECD-DAC evaluation criteria](#) should guide the appraisal of any intervention or policy. They are:

Relevance

- What is the value of the intervention in relation to other primary stakeholders' needs, national priorities, and national and international partners' policies (including the Millennium Development Goals, National Development Plans, UNDAF, PRS and SWAs)?
- What is the value of the intervention in relation to global references such as human rights, humanitarian law and humanitarian principles, the CRC and CEDAW? For UNICEF, in particular:
- What is the relevance in relation to the MTSP, the CCCs, and foundation strategies – the Human Rights-based Approach to Programming, Gender Mainstreaming and Results-based Management? These global standards serve as a reference in evaluating both the processes through which results are achieved and the results themselves, be they intended or unintended.

Efficiency: Does the programme use the resources in the most economical manner to achieve its objectives?

Effectiveness: Is the activity achieving satisfactory results in relation to stated objectives?

Impact:

- What are the results of the intervention - intended and unintended, positive and negative - including the social, economic, environmental effects?
- How do the results affect the rights and responsibilities of individuals, communities and institutions?

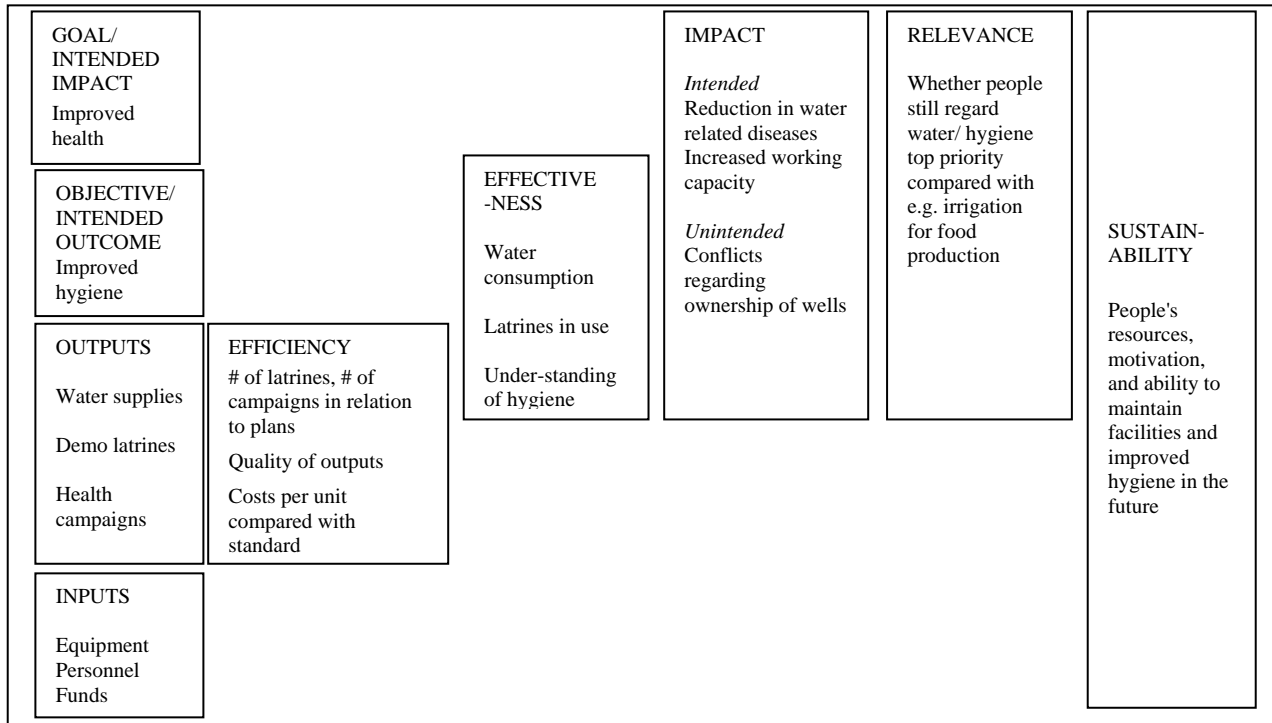
Sustainability:

- Are the activities and their impact likely to continue when external support is withdrawn?
- Will the strategy be more widely replicated or adapted? Is it likely to go to scale?

28. For any individual evaluation, the criteria must be converted into specific evaluation questions. The list above is the generic formulation. During the evaluation design phase, it is critical to develop the precise questions to be answered, and to verify that those answers will measure impact etc.

29. Evaluation operates effectively within a results based management approach, such as that used by UNICEF. Figure 5.2 offers a visual illustration of this link. An evaluation planning process that carefully identifies objectives and indicators which meet the evaluation criteria and are founded on results based programming logic will lead to a very strong evaluation.

Figure 5.2 Evaluation Criteria in relation to programme logic



30. The criteria listed above apply equally to developmental and humanitarian action settings. In addition, evaluations of humanitarian action should be guided by four additional criteria as outlined in [OECD-DAC guidance](#):

Coverage:

- Which groups have been reached by a programme?
- What is the differential impact on those groups?

Coordination: What are the effects of co-ordination / lack of co-ordination on humanitarian action?

Coherence

- Is there coherence across policies guiding the different actors in, for example the security, developmental, trade, military and humanitarian spheres?
- Are humanitarian considerations taken explicitly into account by these policies?

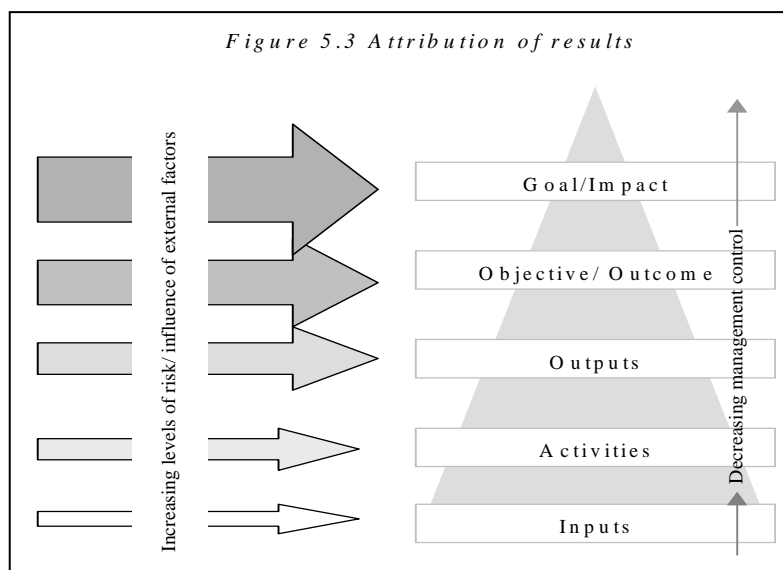
Protection: Is the response adequate in terms of the protection of different groups?

31. More detail on these evaluation criteria is provided in the [Evaluation Technical Notes](#). This includes additional evaluation criteria that apply specifically to humanitarian crisis situations. Broader standards that guide the entire evaluation function are discussed in Section 5.3.

Attribution and partnership

32. As defined by OECD-DAC, attribution represents "the extent to which observed development effects can be attributed to a specific intervention or to the performance of one or more partners taking account of other interventions, (anticipated or unanticipated) confounding factors, or external shocks." For UNICEF, the challenge is to draw conclusions on the cause-and-effect relationship between programmes/projects and the evolving situation of children and women. It may be difficult to attribute intermediate and long-term results to any single intervention or actor. Evaluations and reporting on results should therefore focus on *plausible attribution* or *credible association*.

33. Difficulties in attribution to any one actor increase as programmes succeed in building national capacity development and sector-wide partnerships. In such cases, it may be sensible to undertake joint evaluations, which may plausibly attribute wider development results to the joint efforts of all participating actors. Multi-agency evaluations of effectiveness of SWAs and CAPs, or the UNDAF Evaluation, are possible examples.



Section 2. Situating Evaluative Activities in the Programme Process

34. There are three groups of evaluation activities, related to different levels of programme management. Each group of activities should guide managers at the corresponding level.

Table 5.1 –Monitoring and Evaluating at Different Intervention Levels

<i>Focus</i>	<i>Monitoring activities/systems</i>	<i>Evaluation activities</i>
Global Policy, Global Strategy, Regional Priorities	MTSP Monitoring MDG/Child Goals Monitoring DevInfo Regional UNDAF Quality Assurance Systems	Global, Regional Thematic Evaluations Global, Regional Syntheses of Evaluations Meta-Evaluations Regional Analysis Reports Multi-Country Evaluations
Country Programme	Situation Assessment and Analysis Common Country Assessment Early Warning Monitoring UNDAF Annual Reviews Annual Management Reviews Mid-Term Management Review CO Quality Assurance Indicators	Country Programme Evaluation Mid-Term Review Self-Assessment
Programme, Programme Component	Mid-year progress reviews Field visits Expenditure tracking (ProMS) Supply tracking systems Annual Management Review	Programme or project evaluation

35. When evaluative activities focus on Country Programme strategies and the corresponding choice of interventions, it is important to distinguish between “catalytic” and “operational” programme interventions as highlighted in the [MTSP](#).

36. Different evaluative activities should be situated in relation to CO accountabilities as outlined in Chapter 2 (see [Figure 2.3](#)). COs and national partners are jointly responsible for monitoring the country context including early warning monitoring, monitoring the situation of women and children, and monitoring and evaluating the Country Programme. In addition, the CO has direct responsibility for monitoring its own performance. This is generally done through monitoring the quality of programme management, through field visits, Annual and Mid-Term Management Reviews and self-assessment exercises.

Monitoring and Evaluation in Emergencies

37. Accountabilities for M&E do not change in unstable situations or emergencies. The use of an adequately resourced, high quality Integrated M&E Plan, remains key. However, crisis settings inevitably force adjustments in M&E. The most important adjustments and priorities are noted below. (See also [M&E in emergencies](#) on the intranet).

38. UNICEF works as part of a multi-partner crisis response processes that often include M&E components. Extensive knowledge about M&E in emergencies is available in other UN organizations (e.g. WFP, UNHCR) and among NGOs, who should be consulted as appropriate. If possible, an inter-agency team will oversee the M&E planning, including coordinating how to locate and use M&E information from outside the country. Once agency roles are determined, UNICEF will need to balance M&E for internal management and learning purposes with its contribution to multi-partner management and learning.

Early Warning Monitoring Systems and Emergency Preparedness

39. Country Offices should, within the UNCT, assist national governments to establish and operate a basic Early Warning System (EWS) and to strengthen the focus of existing systems on children and women. Early warning indicators help to monitor the likelihood of the occurrence of hazards, which have been identified during the preparation of the emergency profile of the Emergency Preparedness and Response Plan (EPRP) ([see Chapter 6, Section 10](#)). The most advanced EWS are presently related to household food security, environmental patterns affecting food production and imminent food crises. These include, for example, the USAID-supported Famine Early Warning System (FEWS), the World Food Programme's Vulnerability Assessment and Mapping System (VAM) and its corresponding Risk Mapping Project (RMP), and the FAO-supported Global Information and Early Warning Systems on Food and Agriculture (GIEWS). In recent years, Early Warning Systems for communal violence, civil strife, and inter-national conflict have also been piloted. One of the key criteria for Early Warning indicators in any sector is sensitivity, i.e. that indicators reflect change in the situation promptly. Many such indicators draw on qualitative assessments and non-standardised information systems. Given the different expertise of development partners with such systems, national and sub-national Early Warning Systems should be supported jointly by the UN Country Team, where required.

40. Another, broader country programme level M&E focus is the EPRP. The preparation of the EPRP, and especially the country emergency profile, relies heavily on detailed statistical or qualitative information in areas most prone to disaster. A regularly updated baseline ensures that reliable estimates can be made about the affected populations and their possible needs during the first hours of a disaster. Possible monitoring and evaluation challenges and solutions during a potential emergency need to be reflected in the Plan. Ideally, the development of M&E competencies for emergencies should be built into emergency preparedness exercises.

Standards and Resources for the M&E of Programme response

41. UNICEF's emergency response is based on the Core Commitments for Children (CCCs) in emergencies. The CCCs include various M&E accountabilities, particularly for rapid assessments which provide baseline data. Initial or later in-depth assessments may generate additional demands for data collection and analysis. Where possible and needed, strengthening monitoring capacity should be included in appeals for emergency funding. If required competencies are not present in the office, help from the RO should be requested.

42. During the acute phase of the crisis, a simplified IMEP (see Section 5.3) is employed, concentrating on immediate information needs. Rapid assessments and monitoring strategies are the priority themes. Assessments or other baseline surveys early in the crisis help guide

programme response and can later be used for evaluations. While the desire is to maintain high quality standards, it may be necessary to relax standards of validity and reliability and rigour in order to respond as quickly as needed to the crisis. As the pressure eases, the M&E function should aim for regular quality standards, and the evaluation agenda becomes more prominent especially for informing decision making and accountability.

43. There are ample M&E resources for emergencies. The UNICEF Emergency Field Handbook contains tools for rapid assessments and specific material on other M&E challenges etc, in many different technical sectors. The UNICEF Evaluation Training Resource provides a set of modules covering all M&E dimensions in regular and unstable situations, and in acute crises. It discusses how to adapt the IMEP and other M&E tools to emergency settings. Monitoring and evaluation are also discussed in training programmes on EPRP Principled Approach to Humanitarian Action ([PATH](#)). DevInfo has been adapted for emergency programme M&E and has proven versatile in situations like Tsunami response. The ability to manage diverse information sources, generate maps, and its accessibility makes it user-friendly but programmatically powerful.

44. Another important global resource which should influence both programme choices and M&E is the [SPHERE standards](#), a widely accepted set of norms for emergency response in WES, health, and several other areas. UNICEF country offices should not employ them independently. This is a decision for the UN Country Team, and for consultation with the regional and global levels in UNICEF. The M&E efforts to meet the SPHERE standards have guided the design of the M&E content in the [Field Handbook](#), Evaluation Training resource and other resources already mentioned.

Real-Time Evaluations and Global Learning Needs

45. Real-Time Evaluations (RTE) are country programme level efforts that occur in the acute phase of an emergency, and are able to influence and direct the wider emergency response. They may focus on operational performance issues as well as the appropriateness of the response, and may look at UNICEF work alone or the efforts of multiple partners. An RTE is however not desirable for every crisis, and COs should consult with the Evaluation Office and EMOPS. If agreed, an RTE would take place about 4-6 weeks after the onset of the crisis. Country Offices should however plan for an evaluation of all major emergency interventions once the emergency has past.

46. As an emergency moves into the recovery and post-crisis phases, there are opportunities for important global and national learning. Evaluations that analyze the response in terms of organizational effectiveness and the impact of programming strategies can influence national emergency preparedness for the future. Such efforts may look at several countries, especially where a regional crisis calls for a cross-country analytic frame. National and regional examples both support global learning, and are frequently jointly managed by several agencies. The Tsunami Evaluation Coalition provides a strong example. A wide range of emergency learning materials—including in M&E—may be found at the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) web site (see www.alnap.org).

Section 3. Monitoring and Evaluation Responsibilities in UNICEF

47. Monitoring and evaluation activities have been described in Chapters 3 and 4, as they relate to the Country Programme planning and implementation, and were summarized in tables 5. These included the [CCA](#) the [IMEP](#), the [MTRs or Country Programme Evaluation](#), and the [Thematic Evaluation](#), all at Country Programme level; and programme evaluations and field visits at programme or programme component level. This section describes responsibilities for the planning and management of these monitoring and evaluation activities. Elaborations of the themes in this section can also be found in Executive Board Document [E/ICEF/2002/10](#) on the Evaluation Function in the Context of the Medium-Term Strategic Plan, and the subsequent biennial Progress Reports on the Evaluation Function in [UNICEF E/ICEF/2004/11](#) and [UNICEF E/ICEF/2006/15](#).

Integrated Monitoring, Evaluation and Research Plan (IMEP)

48. The IMEP is the central tool that helps UNICEF Country Offices and national partners to manage their M&E responsibilities, as established in the CPAP. The IMEP is comprised of two components -- the multi-year IMEP which is prepared and submitted with the CPAP (see Chapter 3, especially Table 3.2.), and the annual IMEP which is prepared with the AMP (see Chapter 4). Both are mandatory and are described in more detail in [Chapter 6, Section 7](#), and the [Evaluation Technical Notes](#).

49. Both IMEPs are essentially calendars of the major research, monitoring and evaluation activities. The multi-year IMEP builds up from the Results Framework and programme logframes and the annual IMEP builds up from as well as feeds into the Annual Work Plans and Annual Management Plan. *Both IMEPs must also be consistent with the UNDAF M&E Plan.* The multi-year and annual IMEP are of course linked, as are the CPAP and AWP. The annual IMEP gives more detail to those activities identified in the relevant year of the multi-year IMEP and sometimes brings adjustments and additions to major M&E activities. Both IMEPs represent a final stage in the respective programme planning processes to ensure that research, monitoring and evaluation activities are:

- **prioritised** to focus on decision-makers' most critical information needs, especially given scarce resources;
- **integrated** across programmes and sectors wherever feasible to reduce costs;
- **planned realistically** in terms of timing of activities given end use, practical implementation requirements and capacities of the CO and partners.

50. It is the CO responsibility to ensure that multi-year and annual IMEPs are developed in such a way as to achieve the above results and provide the core information outlined in [Chapter 6, Section 7](#). This requires a good results-based approach to programme planning.

51. Once completed, the multi-year and annual IMEPs serve as management tools that trace out how and when the CO and partners will get the critical information needed for results-based management. The CO is responsible to monitor implementation of and adjust/refine the IMEPs in mid-year and Annual and Mid-Term Reviews.

Shared Prioritization Responsibilities

52. M&E planning has historically been a UNICEF-Government co-responsibility. That is now changing. As noted above, the IMEP must be consistent with the UNDAF M&E plan, which means other UN agencies are stakeholders in the UNICEF IMEP. In addition, there are other stakeholders that have a right to participate in the agenda-setting:

- Communities and programme participants, especially since empowerment and accountability are key parts of the M&E approach;
- Neighbouring UNICEF country offices, when there are trans-national issues requiring joint efforts;
- UNICEF regional and HQ levels, in both advisory and formal decision taking roles. The regional role must be underscored. The 5 year IMEP is one of the elements that the PBR process examines and has the formal authority to approve or adjust. Many regions are now making it a practice that annual IMEPS are reviewed. The goal is to identify common themes and to ensure that issues requiring concerted attention are being addressed efficiently. For example, a regional study on migration will need shared commitments. In some regions, the RMTs have accepted a prioritization role, where the subjects of M&E emphasis are agreed upon and a mandate given to the RO and Country Offices to ensure adequate emphasis. Country Offices need to work within the regional governance structure in this area, and also in the context of corporate evaluation needs related to the MTSP.

Management of monitoring and evaluation resources

53. The present formal policy on M&E resources will be updated in 2007. In 1986, the Executive Board recommended that 2 per cent to 5 per cent of country programme expenditure should normally be devoted to evaluative activities each year, in addition to any support budget covering core staff time contribution to such work ([ref: CF/PD/PRO/1986-001](#)). This 2 per cent to 5 per cent is now seen to be too low. Monitoring activities of COs have increased, in particular the Multiple Indicator Cluster Surveys, assistance to national partners in reporting to the Committee on the Rights of the Child, and attention to early warning systems development. In support of results based management, resources also need to be devoted to performance monitoring and evaluation. Activities covered by this may include: UNDAF Annual Reviews, the Mid-Term Review, programme/project evaluations, research and studies, and surveys or other data collection for performance monitoring. Additional resource allocations should be made to support monitoring of the situation of women and children, including through Situation Analysis and CCA, as a strategic contribution to national knowledge. While there is no targeted overall amount, the forthcoming M&E instruction will suggest a significantly increased minimum investment, to enable a knowledge based and results based organization to fulfil its roles.

54. The Representative must ensure and Regional Directors should verify that adequate resources are dedicated to monitoring and evaluation activities.

Quality in Evaluation Design and Implementation

55. Taken together, the following steps will assure that individual efforts and the M&E function as a whole are routinely delivering high quality products. These steps are organized in terms of increasing specificity and from the beginning to the end of the M&E process:

- reduce the focus to a manageable range of activities;
- build efforts around the standards and norms of the M&E professions;
- engage stakeholders;
- make the Terms of Reference the key step where quality is systematically inserted;
- take steps to ensure good implementation; and
- convert the implementation effort into an evidence based report.

56. As explained in Chapter 3, the number of major M&E & Research activities should be limited to the number for which good quality control can be assured. Often this is no more than 3-5 per year but can be more depending on the CO and partners' capacities, and financial and human resources. As a rough guide, the CO should not plan more activities than they were able to implement at high quality levels during the previous year, unless CO capacities have changed significantly or other implementation difficulties have been overcome.

57. Evaluations and research can benefit from recent work on common professional norms and standards, which the UN has refined into UN-specific guidance. The norms cover the entire evaluation function ([Norms for Evaluation in the UN System](#)). For all evaluations, COs should use the [Standards for Evaluation in the UN System](#), in terms of the desired evaluation process and product. These are firmly based on the global professional standards. They include standards related to utility, feasibility, propriety and accuracy. These should now guide UNICEF COs and UN Country Teams.

58. Quality guidance for specific evaluations begins with the use of standard OECD-DAC evaluation criteria including the newer criteria for evaluation of humanitarian assistance (see Section 5). Depending on timing and purpose of the evaluation, as well as resources available, the scope of the evaluation will be defined, focusing on some criteria and not necessarily covering all. Further, all UNICEF-supported evaluations should assess the relevance of programmes/ projects in terms of Human Rights-based Approach to Programming, Gender mainstreaming and Results-based Management. These are central strategies in the MTSP and have increasingly wide acceptance in the international community as necessary characteristics of good programming.

59. Consistent with UNICEF's commitment to a Human Rights Based Approach to Programming, the organisation promotes a wide participation of stakeholders and especially *primary* stakeholders in M&E, wherever possible. Wide stakeholder participation is often a critical factor in identifying the evaluation questions, determining appropriate methods, collecting accurate information, and in actually using the conclusions, recommendations and lessons. In short, stakeholder engagement normally improves quality. At the same time, effective participation must protect the people

involved, whether as participants or subjects of M&E activities. There are special implications in this regard for the protection of children participating in monitoring and evaluation. COs should use the [Evaluation Technical Notes, No. 1](#) as a guide in this matter. Offices should also check the UNICEF intranet for updates on Ethics in M&E issues, as there are many potential problems to avoid.

60. Poor quality evaluations normally start out poor in concept and design. Ensuring quality means focusing on developing a strong Terms of Reference (TOR). These provide a detailed rationale for the effort, the goals and objectives of the evaluation, outputs and accountabilities, and timelines and resource commitments. COs should also use TORs to establish milestones and intermediate products throughout the process as entry points to monitor and strengthen quality. [Evaluation Technical Notes, No. 2](#) provides guidance on Evaluation TORs and can serve as a reference for quality assurance. Quality assurance practices and ethical issues should also be explicitly discussed with consultants, and the key documents shared with them. In short, quality control in TOR design goes beyond strong technical content to a more comprehensive management approach.

61. During the implementation phase, quality control includes an active dialogue with the implementers, whether staff, counterparts, or consultants. Field visits are essential to ensure that the work is being done as agreed. This includes technical areas like sampling, supervision and data processing, as well as adherence to ethical and participatory requirements. UNICEF and UN staff should also engage in discussions during the analysis and findings phase. Involvement in developing an analysis plan, reviewing the logic of linking the data to the findings, and determining the realism of the recommendations will often suggest means of analysis, while helping to find and eliminate errors. At the same time, the independence of the evaluators must be respected; UNICEF involvement at this point is to offer advice and not to mandate certain results.

62. Drawing from the [Programme Evaluation Standards](#), UNICEF has developed a set of [Evaluation Report Standards](#) which detail the key content and quality aspects of reports. These are useful in clarifying expectations with evaluation teams and should be used by COs in reviewing, accepting or rejecting final evaluation reports submitted. These standards are used by the Evaluation Office in determining which evaluation reports will be included in the Evaluation and Research Database, mentioned below.

Responsibilities for M&E Quality

63. The Representative is responsible for the quality of UNICEF-supported research, monitoring and evaluations, relying on the contributions of many members of the Country Team. A discussion of accountabilities will be included in the 2007 revised Evaluation Policy and an accompanying Executive Directive. Key issues that are expected to be reflected include the following:

- programme/project officers have primary responsibility for identifying M&E and Research needs, and for reviewing the findings and ensuring a response to the results;
- the M&E officer is the principal technical advisor for the office, especially during the TOR design phase and implementation phase. Where necessary, technical support from the regional level, UNICEF HQ, or external sources may be sought;

- the Senior Programme Officer ensures that the entire programme team is meeting its IMEP accountabilities, and that the M&E officer or focal point has access and the support needed to ensure a good technical product;
- the CMT oversees the entire process, and should actively engage at several points, including reviewing the comprehensiveness of the IMEP, allocating resources, setting priorities, and developing a management response;
- many COs create an internal team to support the M&E function. Sometimes these are *ad hoc* linked to specific activities, and in other cases they are permanent. Given the importance of the TOR development, either a specific team or the CMT should review evaluation.

The Evaluation Report

64. The data and findings for M&E efforts can be presented in different ways. While there are many possible products (summaries, PowerPoint presentations, complete data sets), it is important that there is a basis in a well described and documented analytic report where full details are presented and where a quality review can be performed. This is especially true for studies, surveys, and evaluation.

65. The [Evaluation Report Standards](#) describe the recommended structure of a report and the measures of good report quality. The Standards should be included in contracts to guide the report writing. Key elements of the standards include:

- a description of the methodology adequate for a reviewer to judge the quality of the design;
- explicit recognition of ethical issues and how they were managed;
- evaluation findings– expressed as factual statements that include description and measurement;
- conclusions – corresponding to the synthesis and analysis of findings; and
- where possible, recommendations about what should be done; and lessons learned – specifically conclusions that can be generalised beyond the specific case for consideration in national or higher level programming.

Disclosure and Dissemination

66. Consistent with disclosure provisions established with national partners in the [BCA](#), progress reports and the findings of evaluations of UNICEF-assisted programmes may be made available to the public. The Mid-Term Review report or CP evaluation, the Annual Review report, as well as programme, project and thematic evaluations are all considered public documents. Please note that disclosure does not apply to those evaluative reports which are internal to UNICEF. These include the CO Annual Report, the Regional Analysis Report, and reports resulting from the Mid-Term Management Review and the Annual Management Review.

67. The Country Office has primary responsibility for disseminating evaluation reports, and especially findings, recommendations and lessons. This responsibility extends to UNICEF and to programme partners, representatives of primary stakeholders involved in the evaluation, participating agencies and donors. Wherever accountability and empowerment are important programme objectives, an active strategy to promote dissemination to civil society, academia, media and other groups that may not be direct programme partners is encouraged. The Regional Office is similarly responsible for promoting and disseminating multi-country evaluations, studies and research, and for reporting on MTRs and major evaluations to the UNICEF Executive Board. Findings can be disseminated through various mechanisms, including formal presentations with national stakeholders, local level community meetings, regional knowledge networks, the CO Annual Report and the Regional Analysis Report.

68. All completed evaluations and studies must be submitted in electronic version to the Regional Director and the Director of the Evaluation Office. (See the [Evaluation Report Submission Website](#) on the Intranet.) The Evaluation Office maintains an Evaluation and Research Database on the Intranet containing summaries of purpose/objectives, methodology, findings/ conclusions, recommendations and lessons learned of all evaluations and studies that meet the above-mentioned [Evaluation Report Standards](#). In addition, the Evaluation Office maintains a repository of all evaluations and studies commissioned by COs, ROs or Headquarters, regardless of quality, for accountability purposes.

Management Response and Follow-Up

69. The Representative is also responsible for a systematic follow-up to an evaluation or monitoring report. This includes a responsibility to ensure that results of all evaluations are discussed and follow-up actions recorded in a meeting of the CMT or other appropriate body. The office should consider but is not obligated to accept the recommendations of the evaluators. These can be rejected or changed for many valid reasons. Equally, the office should not review and respond only to the recommendations, but should assess the implications of the entire report. Above all, there is an accountability to make sure that agreed follow-up actions are actually taken up. A successful evaluation will influence additional processes such as UNDAF Annual Reviews and the Mid-Term Reviews, and forthcoming CPD, the CPAP, and the AWP.

70. Monitoring the management response to evaluations and other M&E efforts is now part of the Audit schedule, and the RMT or other regional and global bodies may monitor and react to CO action and inaction. The revised Evaluation Policy will clarify the respective accountabilities.

PQAA Checklist – Monitoring and Evaluation

- Have the RO and RMT established strategic evaluation and research themes within the context of the MTSP?
- Has an IMEP been prepared as part of the CPAP and in the context of the UNDAF M&E Plan, and is it being updated annually? Has the RO reviewed and commented on the IMEP?
- What is the proportion of monitoring, evaluation and research activities scheduled for the year that has actually been completed?
- Have at least two major, externally facilitated programme/project evaluation been completed, or are scheduled to be completed before the end of the programme cycle?
- Do all major evaluations involve key stakeholders in design and analysis, and rely on triangulation of data sources and findings?
- Do all major evaluations involve consultation with primary stakeholders, or other forms of active participation, wherever possible? Are mechanisms in place to ensure the protection of those participating in evaluation?
- Is there a mechanism for quality control on the design of major evaluations within the Country Office?
- Has the RO reviewed the design of major evaluations, and offered technical assistance as required?
- Is the MTR supported by formal evaluations?
- Has 2 - 5 percent of country programme expenditure been spent on performance monitoring and evaluation?
- Does the office have a mechanism for reviewing, taking action and follow-up on the findings and recommendations of evaluations?
- Are field visits routinely scheduled and undertaken with programme partners?
- Does the CMT monitor an agreed set of indicators to measure the quality of programme and operations management?
- Does the RO actively support the strengthening of monitoring, survey and research skills among national partners and UNICEF staff in the region?

References and Recommended Reading – Monitoring and Evaluation

- [E/ICEF/2003/AB/L.11](#), Internal Audit Activities in 2002
- [E/ICEF/2002/10](#), Report On The Evaluation Function In The Context Of The MTSP
- [CF/EXD/2005-004](#), Charter of Authorities and Responsibilities of the Office of Internal Audit
- [CF/EXD/1997-01](#) Information Sharing on Evaluations and Studies
- [CF/PD/PRO/1998-07](#), Guidelines for UNDAF Annual Reviews and Mid-Term Reviews
- [CF/PD/PRO/1986-001](#) Framework for Improving the Monitoring and Evaluation of Child Survival and Development Activities
- [Evaluation Technical Notes](#)
- [Monitoring and Evaluation Training Resource](#)
- [OECD-DAC guidance.](#)

Chapter 6. Programming Tools (“Toolbox”)

This chapter introduces a number of support tools available to field offices for use at different stages of programme operations. Section 1 provides an overview over the content of the UNICEF Intranet. Section 2 provides information on the elements of a vulnerability/capacity analysis, for incorporation in analytical work and especially the CCA and Section 3 details how to undertake an environmental impact assessment (EIA). Sections 4 and 5 provide the outline (including mandatory text) of CPAPs and PPOs respectively. Section 6 introduces a step-by-step checklist for preparing AWP. Section 7 goes into more details on the IMEP. Section 8 provides details on the preparation of a Country Programme Evaluation (CPE). Section 9 provides details on how to complete a Results Matrix for inclusion in the CPD and CPAP. Section 10, 11, and 12 lay out the process for emergency preparedness and response planning in Country Offices, outline the options for accessing funds for emergencies, and mention co-ordination requirements in complex emergencies, respectively. Section 13 includes a checklist for preparing, conducting and following up to field trips and provides a basic format. Section 14 offers a tool for self-assessment for the quality of the programming process and programme implementation, and Section 15 provides guidance on how to promote participation of children and young people. Section 16 explains the Procurement Service Facility, Section 17 offers a tool to assess the status of Gender Mainstreaming and Section 18 describes important considerations when contemplating a pilot project. Section 19 offers advice for identifying, validating and documenting innovations, lessons, and good practices. Section 20 provides guidance on how to programme for reaching marginalized children and their families. Section 21 offers steps to take for integrating legislative reform into the programming process.

Section 1. The UNICEF Intranet

The [UNICEF Intranet](#) is available to all UNICEF staff. The necessary user ID and password can be obtained from the IT focal point or system administrator. The UNICEF Intranet is for internal use, and offers a range of services and information. These include the Document Repository and among others: human resource information including vacancies bulletins; supply related information; interactive learning modules; electronic journal subscriptions; internal weblogs and discussion sites; help pages for ProMS or other IT related issues; and, security advisories and staff news.

The starting point for those interested in programme related information is the [Programming](#) page. This page provides access to programme planning and management tools, policies, procedures and other resources to assist staff in planning, implementing, monitoring and evaluating UNICEF-supported programmes. Links are included to Programme Policies (including the [PPP Manual](#) itself; the [Short Guide to UNICEF Programme Policy and Procedure](#)); and to the [current](#) and [previous](#) MTSP. You can also access sites for each of the MTSP Focus Areas: [Young Child Survival and Development](#); [Basic Education and Gender Equality](#); [Child Protection from Violence, Exploitation and Abuse](#); [HIV/AIDS and Children](#); and, [Policy Advocacy and Partnerships for Children](#). A UN Reform Section provides sections on [Making UN Reform Work for Children](#) and on the [Common Country Programming Process](#).

The Strategic Information Section on the Programming page focuses on data, monitoring and statistics. A link is provided to the Childinfo.org site which contains a series of global databases on key indicators for monitoring the situation of children and women as well as information related to the Multiple Indicator Cluster Surveys (MICS). Information on DevInfo (a general purpose package for the compilation and presentation of data) is also found here.

Other sites linked from the Programming Page include: [Early Childhood Development](#); [End Child Hunger and Undernutrition Initiative](#); [Adolescent Development & Participation](#); [Avian and Pandemic Influenza](#); [Child Rights Information System](#); [Innocenti Research Centre](#)

Newsletters, e-bulletins and digests on a variety of topics are also listed: ADAP; Child Protection; ECD; Health; Education; HIV/AIDS; Something to Think About; UN Reform; Impressions; SDI Digests.

Also of interest to programme staff are the [Document Repository](#) and [Manuals](#) sections of the Intranet, as well as the [Learning and Knowledge section](#) – particularly the [e-journals and databases](#) page which houses UNICEF's global subscriptions to peer-reviewed journals, international newspapers and other research and the [Learning Web](#) (the gateway to educational resources for UNICEF staff.).

The Document Depository contains full-length text electronic versions of documents (dating from 1997), which can be viewed online or downloaded. Many online documents offer hyperlinks to related documents. Offices with poor Internet access may choose to save frequently accessed documents on their own server. For staff concerned with programme planning and implementation, the Document Repository hosts critical documents including:

- **Executive Directives** (CF/EXD/[year] /xx): issued by the UNICEF Executive Director, to introduce new important policies, procedures, corporate priorities or initiatives. They usually require action by field offices, and the Representative should ensure that they are read by all staff. For instance, updated guidelines for preparation of annual reports are usually distributed through Executive Directives.
- **Programme Directives** (CF/PRO/[year]/xx): issued by a Director of the Programme Group, to indicate a change in programme policies and procedures, to introduce a new initiative, or to issue technical guidance material. For instance, any change in the procedures for Country Programme Preparation, including deadlines, are communicated through PROs. The Representative and SPO should make sure that PROs are read by all programme staff.
- **Executive Board Documents** (E/ICEF/[year]/P/L.xx). These documents are prepared for submission to the Executive Board, and contain important changes in organisational policies, priorities, and budgets. For instance, the UNICEF's Medium Term Strategic Plan 2006-2009 has been proposed to the Executive Board for consideration and, once approved, becomes UNICEF policy. All new Country Programme submissions, as contained in the Country Notes, are submitted to the Executive Board for approval. Executive Board documents should be read selectively by all senior staff.
- **Administrative Instructions and Financial Circulars** contain new or revised guidelines, many of which are directly relevant to programme operations.

The Manuals and Learning Web Sections of the Intranet contain handbooks and all current training manuals. Some of them are only suited for online viewing, because of their file size, or interactive content.

In addition to the intranet being a space for staff to retrieve documents or do research, recent initiatives use the intranet as a place for collaboration and improved information and knowledge sharing among staff.

To this end, two weblogs were launched on the intranet in 2006:

- [Eyes on the World](#)
A space on the Intranet where UNICEF colleagues can share information and discuss the potential impact of new developments in the world of international development. "Eyes" covers a range of topics including UN reform, the new aid environment, innovations and new thinking in development work.
- [In the Know](#)
A weblog on knowledge sharing and knowledge management.

Additional intranet sites of interest to programme staff include:

- The [Evaluation](#) site, which contains information on evaluation policies; activities; methods and tools; learning and training as well as links to the evaluation database and regional M&E sites
- The [Emergency and Security](#) site.

All staff should make it a habit to periodically check on new documents and discussions. The intranet homepage often contains links to the newest and most important organizational information in the "What's New" section. Many areas of the intranet have email lists to which users can subscribe to periodically receive the latest information and updates to specific sites. The two weblogs mentioned above and InfoNet also make use of a relatively new technology called RSS, which delivers links to the most recent content to your web browser. If you are not familiar with RSS, please take a look at a tutorial developed by the Information Management Unit [here](#).

Section 2. Conducting a Vulnerability and Capacity Analysis

Country Offices and their partners should be prepared to rapidly respond to emergencies, and build emergency prevention and preparedness activities into their regular programmes of co-operation. It is therefore essential that each country office in collaboration with development partners conducts a Vulnerability/Capacity Analysis (VCA), preferably as part of major country analytical work, an update of the Situation Analysis, a new CCA or a new country programme.

A VCA will consider actual and potential hazards, the likelihood of their occurrence, determine the population that will be affected, and their ability to cope. A completed VCA will assist country offices to:

- a) identify, together with their host Government, strategies to strengthen the ability of the vulnerable population to cope with possible emergencies. Those strategies would be for implementation by Government or other partners, and can also be supported by UNICEF through the programme of co-operation;
- b) identify interventions that will mitigate against the occurrence of the emergency;
- c) implement an Early Warning System, including identification and monitoring of a set of early warning indicators;
- d) develop contingency or preparedness plans to facilitate a rapid response by UNICEF in case of an emergency, keeping in mind the Core Commitments for Children. The office preparedness plans will be periodically updated during the annual review or annual planning exercise, or more frequently in situations of increasing instability.

The Country Office must closely liaise with Government, other UN agencies and donors on conducting a VCA, on implementing early warning systems and developing preparedness and response strategies. Fairly sophisticated drought warning systems are already developed and in use in some countries. Separate guidance is available on how to develop an office [preparedness plan](#).

Understanding Vulnerability

Vulnerability in this context is understood as the combination of the presence of hazards, and the difficulties of people in coping with them.

It should be noted that UNICEF supported – and human rights-based - country analytical work should identify those children and women that are excluded from basic services, that are experiencing higher morbidity and mortality, are exposed to neglect, abuse or infectious diseases, or drop out of the education system. Any analysis would furthermore try to identify underlying causes for these situations, establish a focus on the marginalized, and provide pointers to Government and UNICEF to identify and implement strategies to ensure that the rights of marginalized children and women will also be met. A VCA adds crisis scenarios to the CCA, and attempts to anticipate the impact of the hazard on children and women, as well as their own or their communities' capacities to respond to those threats. Families and communities usually have their own strategies to cope with many threats. However, frequent, unabated or overwhelming stresses will ultimately deplete their capacity to cope, and may create short-term dependency on

outside assistance. Relief efforts must not undermine the families' or communities' coping abilities, but rather help to restore them³.

Elements of a Vulnerability and Capacity Analysis

A VCA should inform programme preparation and emergency preparedness by answering the following questions:

- What significant hazards and threats, both actual and potential, exist that may lead to an emergency and jeopardise the rights of children and women? How likely is the hazard to occur?
- Who is most at risk? Which geographic area, which language group, which age group, which gender, which occupational group are likely to be most affected?
- What local capacities exist within the concerned communities or affected population to protect their children and women? What capacities do exist among other duty bearers from the public sector, including those from Local Government? Does previous experience in dealing with this or a similar hazard exist?
- What are the underlying causes of this vulnerability, and how can existing coping strategies be strengthened to meet urgent needs and ensure recovery?

A VCA is not a snapshot of the current situation, but observes trends in the situation of children and women, and also considers threats that may emerge during the course of the country programme.

Identifying Hazards and the Likelihood of their Occurrence

A checklist for identifying existing or potential hazards can be organized according to their impact on rights and priority needs, for instance: livelihood, health, shelter, violence, and others. WFP/FAO would be inclined to focus primarily on a possible impact on food security and availability; UNDP possesses considerable expertise in economic analysis. The following sample checklist is grouped according to the nature of the hazards. It can also be used to determine prevention strategies, and to arrive at an office emergency preparedness plan. This list is not complete, and country teams should develop their own checklist specific to the country situation. The extent to which hazards, especially those related to governance, can be discussed in a VCA depends on the understanding and cooperation of the host government.

For most hazards, the UN Country Team and counterparts might be able to identify a set of early warning indicators, which should be monitored regularly. Some of the hazards are linked to each other. For instance, displacement often increases exposure to epidemics.

³ In variation from the terminology here, some agencies use the term Vulnerability to describe the “most needy” in an existing emergency situation, often in the context of rapid assessments.

Sample checklist to examine the possibility, or increased incidence of hazards

Exposure to natural or environmental disaster	<input type="checkbox"/> Drought <input type="checkbox"/> Cyclone, Flood <input type="checkbox"/> Earthquake, Volcanic eruption <input type="checkbox"/> Exceptional cold weather <input type="checkbox"/> Pests <input type="checkbox"/> Crop failure and high price of staple crop	<input type="checkbox"/> Drying up of primary water sources <input type="checkbox"/> Breakdown of water and sanitation systems <input type="checkbox"/> Population pressure on land/overgrazing <input type="checkbox"/> Soil erosion, Landslides <input type="checkbox"/> Pollution
Health related threats & epidemics	<input type="checkbox"/> Cholera and other hygiene related epidemics, diarrhoea <input type="checkbox"/> Measles outbreaks <input type="checkbox"/> Meningitis and other viral epidemics	<input type="checkbox"/> HIV/AIDS <input type="checkbox"/> Rapid increase of tuberculosis <input type="checkbox"/> Unusually high prevalence of malaria
Risk or presence of economic decline	<input type="checkbox"/> Inflation <input type="checkbox"/> Devaluation against major currencies <input type="checkbox"/> Major price fluctuations and increased costs of essential commodities <input type="checkbox"/> Cut in public spending, especially in the social sector <input type="checkbox"/> Difficulty of paying salaries to civil service or military	<input type="checkbox"/> Difficulty of maintaining quality of basic social services <input type="checkbox"/> Increased unemployment <input type="checkbox"/> Increase in household debt <input type="checkbox"/> Closing down of traditional industries and businesses <input type="checkbox"/> Increased emergence of informal and unauthorised settlements
Presence and extent of social conflict	<input type="checkbox"/> Increased incidence of violent crime <input type="checkbox"/> Increased prevalence of small arms <input type="checkbox"/> Violence or clashes between population groups based on ethnicity, religion or belief <input type="checkbox"/> Imminent declaration of State of Emergency	<input type="checkbox"/> Increased incidence of terrorist acts <input type="checkbox"/> (Temporary) suspension of democratic mechanisms, e.g. elections <input type="checkbox"/> Decline in rule of law and order, increased incidences of mob justice <input type="checkbox"/> Perceptions or complaints about imbalanced media reporting and agitation
Exposure to war or possibility of civil disorder	<input type="checkbox"/> Exposure to or participation in regional conflicts <input type="checkbox"/> Border conflicts <input type="checkbox"/> Spill over of war activities from neighbouring country <input type="checkbox"/> Increased presence of landmines <input type="checkbox"/> Influx of refugees and their impact on local resources	<input type="checkbox"/> Possibility of internal displacement, including separation of children from parents or families <input type="checkbox"/> Abductions or recruitment of children <input type="checkbox"/> Destruction of physical infrastructure and/or interruption of basic social services in affected areas <input type="checkbox"/> Increased incidence of rape, and abuse

Identifying Vulnerable Groups

In the next step, populations most likely to be affected by the hazards should be identified. Will the hazard affect the entire country or only specific areas? Will it be different for rural and urban population, different language groups, age or gender? For example, a general economic decline and high prices for consumer staples will affect virtually all those living below the poverty line, while the closing down of certain industries will have a particular effect for those losing their job and their families. The focus of this analysis should be on the especially vulnerable groups who may be in need of special support and protection. The marginalized or disadvantaged groups would have typically been already identified in completed analytical work, including an updated Situation Analysis of Children and Women.

The main categories covered by this analysis would include:

- Any children or women whose survival would be acutely threatened
- Any children or women who would lose their livelihood
- Communities threatened by the presence of landmines
- Any children and women who would lose access to essential basic services
- Internally displaced people
- Children who would be separated, including unaccompanied children, orphans and child-headed households
- Children who would experience trauma
- Young people in militarised societies & child soldiers
- Single parent and youth headed households
- Any families unable to protect and care for their children

Identifying Capacities and Coping Mechanisms

In the next step, the VCA identifies the capacities, or coping mechanisms that exist to prevent, mitigate against or recover from the hazards. Capacities exist at household, community, district or regional level, within central government or within the neighbouring countries or the international community, within organisations and broader networks of actors and organisations, including public and private sectors. It is important to review capacity at all different levels, exploring disparities at sub-national level as well as across different population groups. For instance, while national food security may have been restored after a drought, certain regions of the country may still experience food shortages. Capacities are influenced by different factors:

- Available material resources for consumption, exchange, or production. Essential public goods and services, and the human, financial, logistical and institutional [resources to ensure their delivery](#)
- Social and organisational resources, for instance a kinship network to support family members, or the ability to organise collective activities
- Skills, attitudes and motivational resources, including the readiness to find or participate in providing for solutions.

Generally, an emergency response will aim to strengthen such existing capacities, or coping mechanisms, rather than replacing them or making them redundant. Some coping mechanisms, however, have the potential to destroy the long-term productive potential of the community or environment (such as cutting of trees for firewood, or overgrazing), or existing social relationships (migration, displacement and family separation).

It is important to check whether households, communities, local or national Governments are experienced in dealing with the hazard.

The following checklist has been adapted from more extensive work on VCA and incorporates elements of SWOT (Strength, Weaknesses, Opportunities, Threats) Analysis, gender analysis, stakeholder analysis or other commonly used frameworks. It is recommended that, in case the present exercise indicates the strong need for deeper analysis, the respective chapter in the M&E guidelines or training guides be consulted.

Assessing vulnerabilities and capacities at community and household level to realise activities for survival, protection and longer-term development.	
Physical Resources	<p><i>Strength: What physical resources are available to support key activities for survival, protection or development? Who has access and control?</i> ↔ <i>Weakness: What resources are missing, for whom and for which activities?</i></p> <p>Wherever we ask the question "who", we must distinguish the situation for men and women, girls and boys</p> <p>Material resources: basic necessities; adequate food reserves; productive assets: livestock, seeds, tools; crops (drought resistant); ownership of house or land; functioning infrastructure, water systems, reservoirs, roads; transportation; Financial resources: savings; employment opportunities; credit for food; credit for alternative business Human resources: skills available for key activities; good knowledge and skills on caring for children; key family and community members with knowledge/skills Technology: appropriate technology for activities Services: access to basic social services; Pressures on resources: population density; natural environment or local ecology</p>
	<p><i>Opportunity: Are economic patterns changing? Which positive trends could be reinforced to ensure the sustainability, and wider availability of the resources?</i> ↔ <i>Threats: What resources are the poor most dependent on? Which resources are most likely to be depleted under current threats?</i></p>
Social and Organisational Resources	<p><i>Strength: Who is involved in organisations, groups? In what role? Who are the mobilisers, leaders, organisers, doers? What are the interests of those involved? How do they coincide and support key activities?</i> ↔ <i>Weakness: Who is not involved or excluded from networks/organisations or from key activities? Are they affected by current situation? What is stopping them from being involved? Whose interests conflict with key activities?</i></p> <p>Family structures: family structure presence of kin, parents; strong family relations, kinship networks; absence of family violence and abuse; Organisational structures: functioning, formal decision-making system; existence of organising networks and committees; Leadership: indigenous leadership with authority on issues at hand Institutions: social capital (quality and depth of relationships between people in a family or in a community, patterns of trust, interpersonal networks); policies, laws and other formal institutional links between family, community, sub-national and national levels of society; Pressures on organisational resources: ethnically or religious-based rivalry; organised violence</p>
	<p><i>Opportunity: What organisational structures and networks support individual roles? Are different actors working together? Can leaders be mobilized?</i> ↔ <i>Threats: Which of the traditional structures or relationships are being eroded? Will competition over scarce resources threaten existing social capital?</i></p>
Attitude and Motivation	<p><i>Strength: How do values, attitudes, collective vision, laws and custom support the necessary activities?</i> ↔ <i>Weakness: Which values, attitudes, laws and customs work against needed activities or against different actors?</i></p> <p>Collective vision: strong community identity ∪ community interest in survival and development as a group; determination to rely on own resources and capacities Participation: equal rights and mutual respect between genders; tradition of popular participation Care: equal attention to the education and welfare of girls and boys; willingness to share and care for the most vulnerable; experience in collective care arrangements (see also Institutions above)</p>
	<p><i>Opportunity: Can leadership, children or young people be mobilised to reinforce positive values and/or promote positive action?</i> ↔ <i>Threat: How do values attitudes, laws and customs encourage higher risk behaviour? Does this differ for different groups?</i></p>

The checklist outlines a series of questions intended to guide the analysis of capacity in relation to specific hazards. For different hazards, the checklist may yield different results, indicating that communities may be better prepared to cope with one hazard than dealing with another. The

checklist helps to explore how material resources, organisational resources and skills, attitudes and norms influence the activities the community must undertake to cope with a potential or existing crisis, what strengths exist and can be built upon, and where support is needed. The checklist is not exhaustive and should be reviewed by the country office and adapted to the particular country situation, before discussing them with programme partners.

There are different levels of coping. A household might be able to adjust to current crisis without irrevocably undermining its material, physical, social, motivational assets. The family will be able to return to a normal livelihood pattern after the crisis. However, due to the frequency, duration, or severity of a crisis, or because of its generally poor or marginalized status, a household may be forced to meet short-term basic needs at the expense of its assets, thereby increasing its overall vulnerability.

Assessing Capacity at National and International Level	
<i>Physical and Material Resources</i>	
<ul style="list-style-type: none"> • Well developed and maintained physical infrastructure, including transportation networks, Water supply systems, schools and health facilities • Secure supply chains for the delivery of essential commodities, including food, health and education related commodities 	<ul style="list-style-type: none"> • Committed and skilled civil service • High proportion of public expenditure for basic social services • Stable market economy • Widely existing formal and informal employment opportunities • Effective use of development/humanitarian aid
<i>Social and Organisational Capacity</i>	
<ul style="list-style-type: none"> • Shared sense of history and unity • Tradition of democracy and free elections • Active participation of civil society • Legislation, policies, and expenditure aimed at reducing disparities • Relatively fair distribution of wealth 	<ul style="list-style-type: none"> • Free, vibrant and balanced media • Responsiveness of officials • Stable ethnic or religious relations (incl. participation of minority groups in public life, or freedom to practice minority culture and religion) • Neutrality of judiciary
<i>Skills, Attitude and Motivation</i>	
<ul style="list-style-type: none"> • Existence of Government disaster preparedness programmes • Interdependence with other countries through trade and active cultural or technical exchange • Government/academic participation in global, regional and bilateral treaties and fora 	<ul style="list-style-type: none"> • Respect for human rights • Good track record of national compliance with international agreements • Disciplined response by law enforcement agencies • Humane treatment of prisoners

Root Causes of Vulnerability

Analysing root causes of vulnerability is a difficult but important part of a VCA. The roots of socio-economic vulnerabilities are often culturally, historically or politically entrenched. They may not be corrected in the span of a generation, let alone a programme cycle. While programme interventions might be designed to increase the immediate and medium term coping capacity of the groups at risk, they do not substitute for measures addressing the root causes of vulnerabilities. The Country Office will determine whether and to what extent politically sensitive basic causes -

such as flagrant human rights violations, racial, ethnic, or religious discrimination, corruption, - can and should be addressed.

How to measure vulnerability?

In most cases, UNICEF offices will not directly collect data for the VCA. Methods to quantify vulnerability to food security have been developed and are in use by the UN and partner organisations⁴. Objectively verifiable indicators usually also exist to measure economic and budgetary performance, and access to basic services. Vulnerability related to the presence of social conflict or political instability might not easily be converted into measurable indicators, though could be reviewed, for instance, against the stipulations of the CRC. While short-term data from rapid appraisals can be very useful, a VCA should ideally be informed by more in-depth studies of the livelihood and coping practices of the at-risk groups. Understanding of the norms, values, policies or processes that may advance or impede capacities may also require long term observation of trends. Root causes of vulnerabilities should be analysed within their historic context.

For the capacity analysis, existing research on the livelihood and coping practices of vulnerable groups could be drawn upon, or could be commissioned.

⁴ Examples include the USAID assisted Famine Early Warning System (FEWS), the FAO Global Information and Early Warning System (GIEWS), the IAWG's Food Insecurity and Vulnerability Information Mapping System (FIVIMS), or SCF's Food Economy Approach to Famine Prediction and their Risk Mapping software.

Section 3. Environmental Impact Assessment (EIA)

Background

1. The Environmental Impact Assessment (EIA) is a well-established and fairly standard process. In many countries, industrialized and developing countries alike, EIA is a legal requirement for the final approval of a development project. Most donor country governments also require that programmes receiving their aid follow an EIA procedure similar to that being applied domestically. As a result, most international institutions engaged in development assistance – notably the World Bank, the regional development banks, the FAO and the UNHCR - have established explicit EIA policies for their operations.

2. The purpose of an EIA are to ensure that development options under consideration are environmentally sound and sustainable and that any environmental consequences are recognized and taken into account in programme or project design. UNICEF therefore includes an EIA when designing programmes and projects. (See: World Bank. *Environmental Assessment Sourcebook*. Volume I. Washington, D.C.: World Bank, 1991).

3. Children are exposed, from the prenatal phase, to a barrage of environmental threats to their physical and mental development. Growing children are particularly vulnerable – their physical characteristics, childhood activities and lack of knowledge and experience put them at greater risk from environmental hazards. Although UNICEF assisted programmes are essentially child-focused and socially oriented, they are not necessarily free of adverse impacts on the environment.

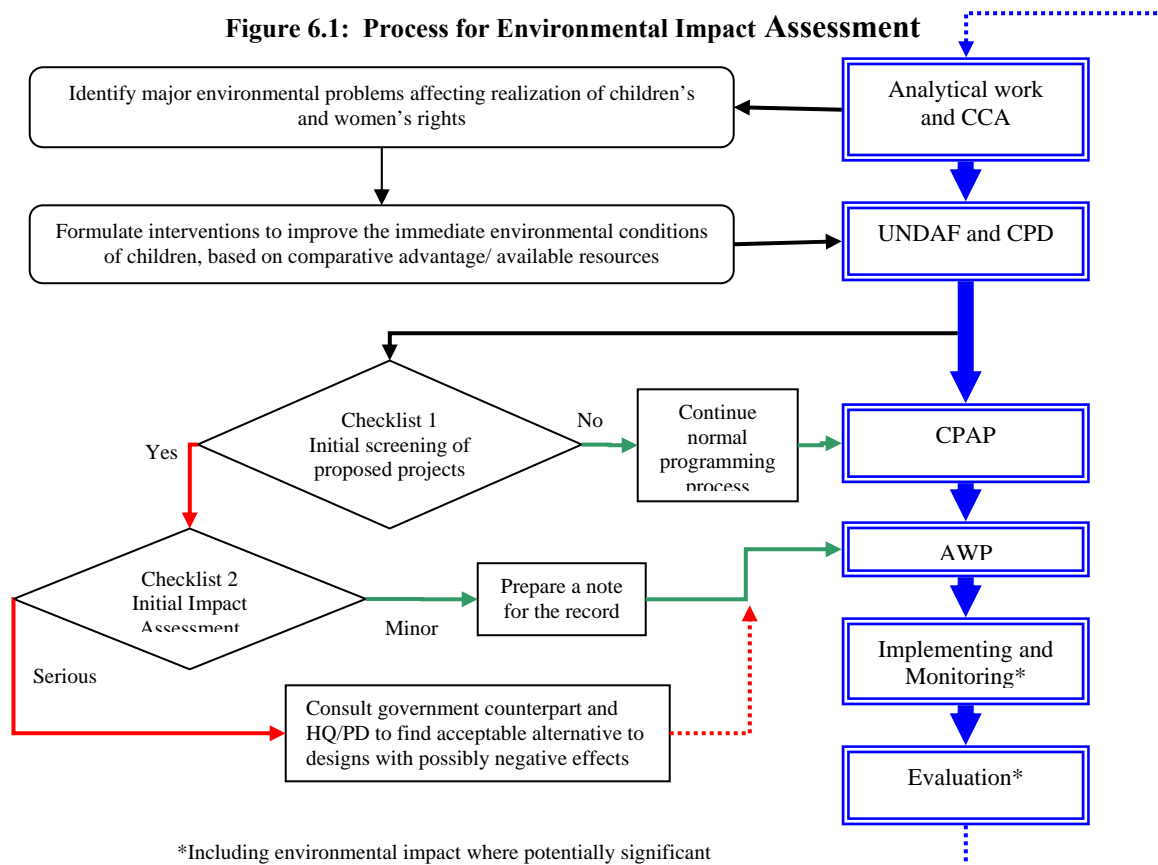
For example:

- while the construction of hand pumps for safe drinking water may not itself be environmentally harmful, an excessive use of groundwater for agricultural purposes in the absence of an integrated water resource management scheme can create serious water stress and other related environmental problems;
- improperly built or sited waste disposal facilities can cause leaching of pollutants into an aquifer; latrines may be polluting sources if they are built too close to a water source;
- medical wastes are particularly hazardous; therefore programmes supporting development of health systems may need to include a component on waste disposal;
- to avoid the effects of lead poisoning on children, classrooms built with UNICEF support must not use leaded paint;
- the use of chlorine for water disinfection can be damaging to health and the environment if used improperly and in excess;
- the arsenic contamination of groundwater in South Asia is a unique environmental health problem, which although it occurs naturally, can be better addressed with the help of EIA.

4. UNICEF policy paper [E/ICEF/1989/L6](#) states that the organization's concern for children extends through the totality of a child's environment, including all the factors that influence a child's survival and development. As a minimum, therefore, UNICEF needs to ensure environmental friendliness in the supported programmes and strives to improve the immediate environment of children (e.g., home, school and community) wherever possible and within UNICEF's technical competence.

5. An EIA aims to:

- identify the likely adverse impacts of a proposed activity on the environment;
- propose measures to avert or mitigate such adverse impacts;
- suggest, in case of unavoidable environmental consequences, environmental management and monitoring measures to be taken during the programme implementation.



6. As a member of the UN System, UNICEF has committed itself to support the implementation of the various action plans adopted at all the major UN conferences of the 1990s. These action plans, especially Agenda 21, emphasize the need for integrating social, economic and environmental factors at the policy, planning and management levels. EIA is one of the practical measures to facilitate this integration. An EIA can help UNICEF staff to more systematically predict, eliminate or mitigate potential negative impacts and maximize positive effects to the environment. Figure 6.1 illustrates how the EIA procedure fits into the programming cycle.

7. Donor agencies are more willing than ever before to support programmes that are environmentally beneficial. The European Union, OECD, The Netherlands, DANIDA, the Swedish International Development Cooperation Agency (SIDA), Australia, Canada, and Japan have made environmental impact assessment a requirement for funding support. See the annexed bibliography for their policy documents.

Scope of an EIA

8. An EIA must consider a wide range of issues, including the physical environment and related socio-economic aspects. Table 6.1 illustrates the potential scope of an EIA exercise, although not every EIA exercise needs to range so widely.

Table 6.1 The Broad Scope of Environmental Impact Assessment

<i>Dimension</i>	<i>Area</i>	<i>Issues (examples)</i>
Environment	Water	<ul style="list-style-type: none"> ▪ Pollution-chemical and microbial ▪ Availability-groundwater, surface water
	Air	<ul style="list-style-type: none"> ▪ Pollutants – particularly, NO_x, CO, SO₂, Dioxins, PCBs, etc. ▪ Indoor pollution, outdoor pollution ▪ Greenhouse gas emissions
	Soil	<ul style="list-style-type: none"> ▪ Properties – loss of nutrients, salinity ▪ Loss – erosion, desertification ▪ Land use change
	Wastes	<ul style="list-style-type: none"> ▪ Generation – solid, liquid, hazardous, toxic ▪ Disposal and treatment – landfill, incineration, composting ▪ Recycling
	Noise	<ul style="list-style-type: none"> ▪ Groups affected: residents, schools, workers, etc
	Natural resources	<ul style="list-style-type: none"> ▪ Water, aquatic products, marine products, forests, energy
	Ecosystems	<ul style="list-style-type: none"> ▪ Wetland, coral reef, rain forest, lake, estuary
	Biodiversity	<ul style="list-style-type: none"> ▪ Loss of species, destruction of natural habitats
	Natural disasters	<ul style="list-style-type: none"> ▪ Flood, drought, landslide, etc.
	Socio-economic	Population
Health		<ul style="list-style-type: none"> ▪ Risks as the result of the above environmental impacts
Habitat		<ul style="list-style-type: none"> ▪ Urban, rural, community, household ▪ Urbanization, industrialization
Resettlement		<ul style="list-style-type: none"> ▪ Involuntary refugees
Special groups		<ul style="list-style-type: none"> ▪ Women, children, minority, indigenous people
Income and employment		<ul style="list-style-type: none"> ▪ Employment opportunities for youth
Cultural		<ul style="list-style-type: none"> ▪ Important sites ▪ Historic, cultural religious

The UNICEF EIA procedure

9. UNICEF programme/project officer should follow three simple steps in the initial assessment of the components of a proposed CP. If these first steps lead to the conclusion that a full-range EIA is required, which will be rare in UNICEF, the primary responsibility for conducting the EIA is of the programme partner, often the national implementing agency.

Step 1. Initial Screening

10. The first step decides whether or not a proposed project needs an EIA. *All proposed projects and in some cases major areas of activity to be contained in a new CP or which are newly introduced following an MTR must go through this initial screening.* Checklist 1 is designed for UNICEF programmes.

Checklist 1 – Initial Screening

Does the proposed programme or project contain activities that fall under one or more of the following categories?

- Extraction of water (e.g., groundwater, surface water, and rain water)
- Disposal of solid or liquid wastes (e.g. human feces, animal wastes, used supplies from a health center or health campaign)
- Use of chemicals (e.g. pesticides, insecticides, paint and water disinfectant)
- Use of energy (e.g. coal, gas, oil, wood and hydro, solar or wind power)
- Exploitation of natural resources (e.g trees, plants, minerals, rocks, soil)
- Construction work above household level (e.g. hospital or school)
- Changing land use (deforestation, forestation, and developing industrial, housing or recreational centers)
- Agricultural production (e.g. growing crops, fish farming)
- Industrial production (e.g. small scale town/village workshops)

If the answer is NO, and EIA is not required and the process is complete.

If the answer is YES, go to Step 2.

Step 2. Initial Impact Assessment

11. The purpose of this second step is to analyse the potential impacts of the proposed project and estimate whether they are likely to be serious or minor. Checklist 2 will help assess any potential environmental impacts. To answer these questions reliably, the responsible programme/ project officer may need to obtain additional information and solicit professional assistance. Informal or preliminary discussions with the national or other relevant counterparts may be also desirable.

Step 3. Making a decision

12. The majority of UNICEF-supported projects will not require an environmental impact assessment other than this initial qualitative check. If that is the case, a short note for the record should be written to cover the following:

- project title and proposed project activities that have been reviewed using Checklist 2;
- brief explanation of why the activities are considered to have no or only minor impacts on the environment or why existing safety procedures in the country are considered to be adequate.

13. Should a full-range EIA be necessary, the CO will bring the matter up with the national counterpart. Together they should decide if the proposed project or activity likely to cause a major

environmental impact should be a) cancelled, b) modified or c) retained.

Checklist 2 – Initial Impact Assessment

Consider and answer the following questions. If necessary, consult experts and discuss with national counterparts.

Air

- Emission of polluting substances (e.g. a brick kiln, small scale fertilizer factory)?
- A noticeable increase in energy use, particularly the use of fossil and wood fuels (e.g. use of coal or wood in village industry)?

Water

- Discharge of wastewater directly into a water body (e.g. small sewer system with direct outlet to a river)?
- Possible contamination of water sources (e.g. a waste-generating facility, including a latrine sited too close to groundwater source)?
- Creating water shortages or exacerbating existing water stress (e.g. increasing water use in industrial or agricultural production)?

Wastes

- Generation of appreciable amounts of hazardous or solid waste (e.g. used syringes or other health center refuse for which standard and effective disposal procedures do not already exist, garbage or human excreta from a refugee camp over 200 people)?

Land

- A marked decrease or change in tree/vegetation coverage in the project area (e.g. cutting of trees or bamboo for commercial purposes, reclamation of grass or wetlands)?
- Deterioration of soil qualities (e.g. nutrient loss, topsoil loss, erosion, salination, desertification)?
- Substantial changes in land, farming and fishing practices (e.g. building a new irrigation system, changing fallow practice to intensive cultivation)?
- A major alteration to an existing landscape (e.g. terracing)?

Biodiversity and resource conservation

- Changes to natural habitats, particularly of endangered species (e.g. encroachment into a nature reserve)?
- Negative impacts on local flora and fauna (e.g. suppressed or excessive growth of an indigenous plant, possible impact of large-scale forestation scheme on other local species)?
- Depletion of a local resource (e.g. a medicinal plant, a fish species)?
- Disturbance to an ecosystem (e.g. introduction of an alien species)?

Health risks

- The use/handling of fairly large amounts of chemicals, particularly of hazardous or toxic materials (e.g. fertilizers, pesticides, chloride, lead-containing paint)?
- A public nuisance (e.g. noise, smells, pest infestation)?

Socio-economic impacts

- Any effects on an indigenous/cultural/historic heritage (e.g. archaeological site, religious or cultural ritual)?
- Unwanted social consequences (e.g. increased workload for women, increase racial/gender inequalities)?

If all the questions are answered NO, prepare a short note for the record and continue with the normal programming procedure.

If the answer to any of the questions is YES or “probably”, “maybe”, “perhaps” or “not sure”, or in cases where standard safety procedures (e.g. for immunization materials disposal) either do not exist or are not reliable, a full-range EIA is required.

14. In the latter two cases, the national counterpart should be asked to contract an independent institution to conduct a formal EIA. The EIA will provide suggestions on what measures should be taken to mitigate the predicted consequences, or whether the activity should be cancelled. The Regional Offices and Programme Division should be informed in such cases and, if necessary, asked to provide technical advice.

15. A full-range EIA will need to study in detail the nature and degree of potential environmental impact of the project, identify alternatives or mitigating measures, and propose a detailed plan for managing and monitoring the expected impacts during the implementation phase. For more information on EIA methods, refer to WES Technical Guidelines Series' manual on improving the environment for child survival, growth and development. Advice on Terms of Reference for a full EIA may also be obtained from WES Section, PD, NYHQ.

Enhancing positive impacts on children's environment

22. In the CCA, an effort should be made to highlight any major environmental problems and potential risks affecting children and women. Responses and interventions may be formulated to deal with the identified environmental health problems to children and women, but UNICEF's involvement in supporting these will depend on its capacity, resources and comparative advantage, and may be focused on advocacy with partners.

23. Where appropriate, certain low-cost activities may be included in projects to improve environmental and sanitary conditions for children. Examples of such environmentally oriented activities are:

- protecting water sources from local pollution;
- planting trees to replenish groundwater and prevent soil erosion;
- promoting smokeless stoves and use of solar energy to cut indoor air pollution;
- supporting hygiene and environmental education for children and mothers;
- adopting integrated water resource management strategies at local levels.

24. Bibliography on EIA:

- [EU website](#)
- Netherlands: Focus on Development: Developments in Sustainability 1992-1997, Foreign and Environment Ministries of the Netherlands, 1997.
- DANIDA: Guidelines on Environmental Assessment for Sustainable Development, Denmark International Development Agency, 1995.
- SIDA: Policy on Sustainable Development, Swedish International Development Cooperation Agency, 1996.
- Australia: "Impact of Proposals Act". Statement by Senator Robert Hill of Australia to the UN Special Session on Agenda 21 Review, 1997.
- CIDA: Environmental Assessment at the Canadian International Development Agency.
- Japan: Statement by Prime Minister of Japan, Mr. Hashimoto, to the UN Special Session on Agenda 21 Review, 1997.

Section 4. Content and Standard Text of the Country Programme Action Plan (CPAP)

This guide is to be read together with the guidelines contained in paragraphs [75-81 of Chapter 3, Section 2](#) and 119-123 of [Chapter 3, Section 3](#) of this manual, and the [UNDG note on CPAPs](#). The length of a typical CPAP (without annexes or a second volume) would normally not exceed 20 pages. Paragraphs should be numbered. Text indented and in *Italics* below is standard text that is normally needed in the CPAP, with appropriate modifications unless otherwise stated. In a few cases, the text is marked “exact language” and should not be altered.

Important Note: With ongoing harmonization of operational policies and procedures of UN agencies, it is possible that UN agencies will agree on the further standardization of text for the operational modalities contained in the CPAP. Before applying the guidelines below, please consult the [UNDG.org](#) website for new inter-agency CPAP guidance (issued after April 2005), which would possibly necessitate some modifications to the text below.

THE FRAMEWORK:

- **Furthering** their mutual agreement and cooperation for the fulfilment of the Convention on the Rights of the Child;
- **Building** upon the experience gained and progress made during the implementation of the previous Programme of Cooperation;
- **Entering** into a new period of cooperation from [beginning date] to [end date];
- **Declaring** that these responsibilities will be fulfilled in a spirit of friendly cooperation;

Have agreed as follows:

Part I: Basis of Relationship

The reference to the Basic Cooperation Agreement is mandatory.

“The Basic Cooperation Agreement (BCA) concluded between the Government and UNICEF on ... (and revised on...) provides the basis of the relationship between the Government and UNICEF. This Country programme Action Plan for the period ... is to be interpreted and implemented in conformity with the BCA. (The programmes and projects described herein have been agreed jointly by the Government and UNICEF...)”

Part II: The Situation of Children and Women in

This part uses and builds on the text of the relevant section of the CPD. It provides a succinct, analytical overview, in terms of cause and effect relationships, of the most pertinent issues related to children’s and women’s rights, as well as the trends towards achieving the goals and commitments of the Millennium Declaration, A World Fit for Children (and the National Plan of Action for Children, where available), the CRC, and CEDAW. It also provides a summary of (and hypertext link to) the relevant parts of the most recent Common Country Assessment (CCA), the Millennium Development Goals Report (MDGR), or other important country analytical work. Also refer to the State Party report on implementation of the CRC, its main conclusions and any observations/ recommendations of the Committee on the Rights of the Child thereon. If available,

the framework used for establishing the underlying and basic causes for the situation of children and women, or violation of their rights, can be included or described.

PART III: Past Cooperation and Lessons Learned

This part uses and builds on the respective section of the CPD, and should include a brief overview of *key* results achieved in the past programme, with references and hypertext links to the most recent programme reviews and evaluations; and a succinct description of major lessons learned (including those from the most recent Mid Term Review and from evaluations), including what worked and what did not work and why, with *specific* references to the strategies employed in the previous country programme and how these lessons will be applied in the new proposed programme. Statements of agreed lessons are particularly important where there is a significant departure from previous programmes of cooperation or strategies, or where new partners are being identified.

Part IV: Proposed Programme

This part is an expanded version of the respective sections of the CPD. It includes

- The ***Country Programme Outcomes and Strategies***, and how they contribute to the UNDAF outcomes. Also refer to the UNICEF Medium Term Strategic Plan (MTSP), the wider Millennium Development Goals and specific priorities, goals or provisions relating to children and women in the National Development Plan. Where appropriate, also relate to sector reforms (e.g. SWAps), new and relevant national policies, plans or programmes (e.g. PRS), existing commitments vis-à-vis CRC implementation, or particular challenges and opportunities. The implications for the programme of the human rights based approach to programming can be elaborated. This is also a good place to explain the *rationale* for programmatic choices for UNICEF-specific cooperation, within the UNDAF.
- The description of each ***Programme Component***, the planned results and the strategies to be used to reach these results. This section should describe how outputs will contribute to the abovementioned overall outcome(s) of the Country Programme and the UNDAF. Include a brief reference to the projects under each Programme Component. Where applicable, describe the geographic coverage and the focus on the most vulnerable groups.
 - The section should include a brief description of UNICEF's distinctive role, vis-à-vis other development partners, in addressing the identified child rights issues. Where useful, refer to the relevant conclusions of the JSM.
 - In describing the proposed strategies, reference should be made to the lessons learned. Refer to actions in capacity development, such as capacity assessments, monitoring progress in capacity development, use of pilots for testing strategies and interventions (see [Chapter 6, Section 18](#)), the generation of knowledge and promotion of local capacities and learning.
 - A note should be added indicating that an Environmental Impact Assessment has been undertaken for all programmes and projects, and that no negative environmental effects are expected.

- The *Programme Structure* should be described, perhaps in the form of a diagram. Frameworks that guided the design of the CP, and the hierarchy of the CP results and programme results, can be included.
- an indicative *Summary Budget Table* by Programme Component, year and funding source (RR or OR). Figures should be consistent with the programme budget table in the revised CPD. Estimates of Government or other agencies' contributions, where known, could be included. The table must include a footnote saying that these are estimated amounts, which will depend on the actual availability of UNICEF global resources and specific-purpose contributions from funding partners.

If detailed PPOs are developed separately (e.g. as volume II of the CPAP), this section of the CPAP can rely mainly on the text of the CPD.

Part V: Partnership Strategy

This part briefly analyses other donors' or partners' expected contribution to the country programme goals and/or sectors, or to the wider rights of children and women that the UNICEF assisted Programme of Cooperation seeks to promote. Relevant donor or programme coordinating bodies and mechanisms should be mentioned, which link the UNICEF assisted programme to other development initiatives. For instance:

“The national AIDS Executive Committee is responsible for coordinating Ministries’ efforts to fight the HIV/AIDS epidemic, and to coordinate donor contributions to HIV/AIDS activities... The Committee meets quarterly and reviews.....UNICEF will continue to participate in the Committee”

“Development agencies’ contributions to the education sector are coordinated through the Strategic Advisory Group on Basic Education chaired by the Planning Directorate of the MoE, to which UNICEF will be invited....”

Where relevant, known specific donor programmes and their relationship to the UNICEF assisted CP should be mentioned (after checking with the donor agency). This is important where the outcome of a UNICEF assisted programme is partially dependent on or complementary to a programme supported by other external cooperating partners. The role and involvement of Civil Society Organisations (CSOs) as programme partners, including Non Governmental Organisation (NGOs) or Community Based Organisations (CBOs) should also be mentioned wherever possible and relevant.

Where appropriate, the division of responsibilities among UN agencies should be mentioned, as well the major areas already agreed for joint programming – and joint programmes or projects.

Part VI: Programme Management

This article corresponds to the respective paragraph in the CPD and defines the institutions primarily responsible for programme implementation and coordination, as well as the envisaged management processes and mechanisms. For instance:

“ The Ministry of ... (National Planning Commission...) is responsible for overall programme coordination ... Responsibilities for programme management rest with the heads of Government Ministries (Ministry of Health,

Ministry of...). For each project, a Government official will be designated who, working with the designated UNICEF counterpart, will have overall responsibility for planning, managing and monitoring project activities..."

It should also describe

- the process of annual planning, annual and any other reviews, together with the central role of the Annual Work plan (AWP) (including as a basis for resource transfers) and Annual Reviews. For instance:

This part includes:

All cash transfers to an Implementing Partner are based on the Annual Work Plans agreed between the Implementing Partner and [UN agency].

Cash transfers for activities detailed in AWP's can be made by a UN agency using the following modalities:

1. *Cash transferred directly to the Implementing Partner:*
 - a. *Prior to the start of activities (direct cash transfer), or*
 - b. *After activities have been completed (reimbursement);*
2. *Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner;*
3. *Direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners.*

[In countries where it has been agreed that cash shall be transferred to institutions other than the Implementing Partner (e.g., the Treasury) please replace with the following text]

Cash transfers for activities detailed in AWP's can be made by a UN agency using the following modalities:

1. *Cash transferred to the [national institution] for forwarding to the Implementing Partner:*
 - a. *Prior to the start of activities (direct cash transfer), or*
 - b. *After activities have been completed (reimbursement)*
2. *Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner.*
3. *Direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners*

Where cash transfers are made to the [national institution] the [national institution] shall transfer such cash promptly⁵ to the Implementing Partner.

Direct cash transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures shall be requested and released quarterly or after the completion of activities. The [UN agency] shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts.

Following the completion of any activity, any balance of funds shall be reprogrammed by mutual agreement between the Implementing Partner and [UN agency], or refunded.

Cash transfer modalities, the size of disbursements, and the scope and frequency of assurance activities may depend on the findings of a review of the public financial management capacity in the case of a Government Implementing Partner, and of an assessment of the financial management capacity of the non-UN⁶ Implementing Partner. A qualified consultant, such as a public accounting firm, selected by [UN agency] may conduct such an assessment, in

⁵ The UN country team may wish to agree on the specific number of days in lieu of "promptly".

⁶ For the purposes of these clauses, "the UN" includes the IFIs.

which the Implementing Partner shall participate. (Where Government wishes, add: The Implementing Partner may participate in the selection of the consultant.)

Cash transfer modalities, the size of disbursements, and the scope and frequency of assurance activities may be revised in the course of programme implementation based on the findings of programme monitoring, expenditure monitoring and reporting, and audits.

- implementation arrangements, including those for joint programmes or projects, where applicable;
- the strategy for resource mobilization (financial and in-kind);
- human resource requirements;
- where it is an issue, management modalities at sub-national or decentralised levels (distinct from national level institutions).

Part VII: Monitoring and Evaluation

This section should include:

- A brief introduction to the Integrated Monitoring and Evaluation Plan (IMEP) and its links to the UNDAF M&E Plan, and key role of the Annual UNDAF Review.
- The overall strategy and main modalities for monitoring and evaluation. A distinction should be made between monitoring progress towards achieving national goals to which the UNICEF assisted programmes contribute (situation monitoring), and the monitoring and evaluation of the activities of the UNICEF assisted programme (performance monitoring). The former typically relies on routine monitoring or data collection mechanisms, or national studies or surveys, to which UNICEF should have access or could be invited to contribute to their design. For the latter, this section could spell out the different types of M&E activities that go beyond the UNDAF Annual Reviews and could include:
 - Field visits, usually to be undertaken jointly by Government and UNICEF and possibly other UN staff;
 - Completion reports on activities supported by Cash Assistance to Government;
 - Project progress reports for review at the annual review/planning meetings;
 - Evaluations of programme interventions and strategies;
 - Special surveys to establish baseline data or track change;
 - Any planned research activities and analytical work, including the updating of the Situation Analysis of Children and Women;
 - Community consultations in areas of intervention of the programme of cooperation.
- The institutions responsible for preparing progress reports should be mentioned, as well as the participation of third parties (NGOs, donors, external evaluators) in evaluations, and the frequency of reporting. The intent to set aside a certain percentage of the programme budget for M&E, or to strengthen national M&E capacity (if this is a programme objective), could be stated
- A description of the responsibilities of implementing partners for facilitating assurance activities over the use of resources provided by the UN agency. The need for national programme partners to facilitate joint visits to project locations with the UN agency should be mentioned. This part includes:

This part includes:

Implementing partners agree to cooperate with [UN agency] for monitoring all activities supported by cash transfers and will facilitate access to relevant financial records and personnel responsible for the administration of cash provided by the [UN agency]. To that effect, Implementing partners agree to the following:

- 1. Periodic on-site reviews and spot checks of their financial records by [UN agency] or its representatives,*
- 2. Programmatic monitoring of activities following [UN agency's] standards and guidance for site visits and field monitoring,*
- 3. Special or scheduled audits. [UN agency], in collaboration with other UN agencies (where so desired: and in consultation with the [coordinating Ministry]) will establish an annual audit plan, giving priority to audits of Implementing Partners with large amounts of cash assistance provided by [UN agency], and those whose financial management capacity needs strengthening.*

To facilitate assurance activities, Implementing partners and the UN agency may agree to use a programme monitoring and financial control tool allowing data sharing and analysis.

Select from the following two options:

- (Where an assessment of the Public Financial Management system has confirmed that the capacity of the Supreme Audit Institution is high and willing and able to conduct scheduled and special audits.) *The Supreme Audit Institution may undertake the audits of government Implementing Partners. If the SAI chooses not to undertake the audits of specific Implementing Partners to the frequency and scope required by [UN agency], [UN agency] will commission the audits to be undertaken by private sector audit services.*
- (Where no assessment of the Public Financial Management Capacity has been conducted, or such an assessment identified weaknesses in the capacity of the Supreme Audit Institution.) *The audits will be commissioned by [UN agency] and undertaken by private audit services. (Where government insists on selecting the audit services, replace last sentence with: The Implementing Partner may select such a public accounting firm from a shortlist of accounting firms pre-approved by the UN agency.)*

Assessments and audits of non-government Implementing Partners will be conducted in accordance with the policies and procedures of [UN agency].

Part VIII: Commitments of UNICEF

- A description of UNICEF's commitment to provide the indicated resources.

This part includes:

In case of direct cash transfer or reimbursement, [UN agency] shall notify the Implementing Partner of the amount approved by [UN agency] and shall disburse funds to the Implementing Partner in [here insert the number of days as per agency schedule].

In case of direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; or to vendors or third parties for obligations incurred by [UN agency] in support of activities agreed with Implementing Partners, [UN agency] shall proceed with the payment within [here insert the number of days as per agency schedule].

[UN agency] shall not have any direct liability under the contractual arrangements concluded between the Implementing Partner and a third party vendor.

Where more than one UN agency provides cash to the same Implementing Partner, programme monitoring, financial monitoring and auditing will be undertaken jointly or coordinated with those UN agencies.

- A description of the role and responsibilities of the UN agency in support to planning, implementation, monitoring and review of the AWP.

“UNICEF support to the development and implementation of activities within the Country Programme Action Plan may include technical support, cash assistance, supplies and equipment, procurement services, transport, funds for advocacy, research and studies, consultancies, programme development, monitoring and evaluation, training activities and staff support. Part of UNICEF support may be provided to Non Governmental [and Civil Society] Organisations as agreed within the framework of the individual programmes.”

“UNICEF shall appoint project staff and consultants for programme development, programme support, technical assistance, as well as monitoring and evaluation activities”

“Subject to annual reviews and progress in the implementation of the programme, UNICEF funds are distributed by calendar year and in accordance with the Country Programme Action Plan. These budgets will be reviewed and further detailed in the Annual Work Plans. By mutual consent between the Government and UNICEF, if the rate of implementation in any project is substantially below the annual estimates, funds not earmarked by donors to UNICEF for specific projects may be re-allocated to other programmatically equally worthwhile projects that are expected to achieve faster rates of execution.”

“UNICEF will consult with ministries and agencies concerned on timely requisition of cash assistance, supplies and equipment, or services. UNICEF will keep concerned officials informed of the movement of commodities, in order to facilitate efficient and timely clearing, warehousing and distribution.”

“In consultation with the Government focal cooperation department, UNICEF maintains the right to request a joint review of the use of commodities supplied but not used for the purposes specified in this Country Programme Action Plan and Annual Work Plans, for the purpose of reprogramming those commodities within the framework of the CPAP.”

- A commitment by the UN agency to apply common resource transfer procedures and coordinate monitoring and assurance activities with other UN agencies. E.g.:

“Where UN agencies other than [UN agency] are supporting the same partner, programme monitoring, financial monitoring and auditing will be undertaken jointly or coordinated with those UN agencies”.

Part IX: Commitments of the Government

- A description of the role and responsibilities of government and implementing partners (including non-governmental organisations and sub-national entities, as appropriate) in planning, implementing, monitoring and reviewing the AWP. Including:

[Where Government agrees]: When organising periodic programme review and planning meetings, including annual reviews, annual planning meetings and the Mid-Term Review, Government shall encourage and facilitate the participation of donors, United Nations agencies, members of the UNICEF Executive Board, non-governmental organisation or civil society organisations, as appropriate.

The Government will provide all personnel, premises, supplies, technical assistance and funds, recurring and non-recurring support, necessary for the programme, except as provided by UNICEF and/or other United Nations agencies, international organisations or bilateral agencies, or non-governmental organisations. [Some countries manage to quantify the Government contributions. Any important expected in-kind contributions should be mentioned.]

[exact language]: *The Government will support UNICEF's efforts to raise funds required to meet the financial needs of the Programme of Cooperation and will cooperate with UNICEF by: encouraging potential donor government to make available to UNICEF the funds needed to implement the unfunded components of the programme; endorsing UNICEF's effort to raise funds for the programme from the private sector both internationally and in [name of country]; and by permitting contributions from individuals, corporations and foundations in [name of country] to support this programme which will be tax exempt.[where applicable, the text may refer also to Greeting Card and products operations]*

- A description of the role and responsibilities of government and implementing partners in requesting and utilizing resources provided by the UN agency.

This part includes:

A standard Fund Authorization and Certificate of Expenditures (FACE) report, reflecting the activity lines of the Annual Work Plan (AWP), will be used by Implementing Partners to request the release of funds, or to secure the agreement that [UN agency] will reimburse or directly pay for planned expenditure. The Implementing Partners will use the FACE to report on the utilization of cash received. The Implementing Partner shall identify the designated official(s) authorized to provide the account details, request and certify the use of cash. The FACE will be certified by the designated official(s) of the Implementing Partner.

Cash transferred to Implementing Partners should be spent for the purpose of activities as agreed in the AWP's only.

Cash received by the Government and national NGO Implementing Partners shall be used in accordance with established national regulations, policies and procedures consistent with international standards, in particular ensuring that cash is expended for activities as agreed in the AWP's, and ensuring that reports on the full utilization of all received cash are submitted to [UN agency] within six months after receipt of the funds. Where any of the national regulations, policies and procedures are not consistent with international standards, the UN agency regulations, policies and procedures will apply.

In the case of international NGO and IGO Implementing Partners cash received shall be used in accordance with international standards in particular ensuring that cash is expended for activities as agreed in the AWP's, and ensuring that reports on the full utilization of all received cash are submitted to [UN agency] within six months after receipt of the funds.

To facilitate scheduled and special audits, each Implementing Partner receiving cash from [UN agency] will provide UN Agency or its representative with timely access to:

- *all financial records which establish the transactional record of the cash transfers provided by [UN agency];*
- *all relevant documentation and personnel associated with the functioning of the Implementing Partner's internal control structure through which the cash transfers have passed.*

The findings of each audit will be reported to the Implementing Partner and [UN agency]. Each Implementing Partner will furthermore

- *Receive and review the audit report issued by the auditors.*
- *Provide a timely statement of the acceptance or rejection of any audit recommendation to the [UN agency] that provided cash (and where the SAI has been identified to conduct the audits, add: and to the SAI).*
- *Undertake timely actions to address the accepted audit recommendations.*

Report on the actions taken to implement accepted recommendations to the UN agencies (and where the SAI has been identified to conduct the audits, add: and to the SAI), on a quarterly basis (or as locally agreed).

In accordance with the BCA, the Government will be responsible for the clearance, receipt, warehousing, distribution and accounting of supplies and equipment made available by UNICEF. No taxes, fees, tolls or duties shall be levied on supplies, equipment, or services furnished by UNICEF under this Country Programme Action Plan. [Where appropriate]: UNICEF shall also be exempt from Value Added Tax (VAT) in respect of local procurement of supplies or services procured in support of UNICEF assisted programmes.

Cash assistance for travel, stipends, honoraria and other costs shall be set at rates commensurate with those applied in the country, but not higher than those applicable to the United Nations System (as stated in the ICSC circulars).

The Government will authorise the publication through various national and international media of the results of the Programme of Cooperation, and experiences derived from it.

As per the provision of the BCA, the Government will be responsible for dealing with any claims, which may be brought by third parties against UNICEF and its officials, advisors and agents. UNICEF and its officials, advisors and agents will not be held responsible for any claims and liabilities resulting from operations under this agreement, except where it is mutually agreed by Government and UNICEF that such claims and liabilities arise from gross negligence or misconduct of such advisors, agents or employees.

[If required]: Without prejudice to the generality of the foregoing, the Government shall insure or indemnify UNICEF from civil liability under the law of the country in respect of project vehicles under the control of or use by the Government.

Additional paragraphs can be inserted, where appropriate, for example if additional arrangements for disbursements or reporting (i.e. at decentralised levels) need to be established.

Part X: Other Provisions

This Country Programme Action Plan [and the Programme Plans of Operation annexed hereto/which form volume II of this agreement – where applicable] shall supersede any previously signed Master Plan of Operations [or Country Programme Action Plan – as appropriate] and become effective upon signature, but will be understood to cover programme activities to be implemented during the period from ... [date] through ... [date].

The Country Programme Action Plan [and Programme Plans of Operations annexed hereto/which form volume II of this agreement – where applicable] may be modified by mutual consent of the Government and UNICEF, based on the outcome of the annual reviews, the Mid Term Review or compelling circumstances.

Nothing in this Country Programme Action Plan shall in any way be construed to waive the protection of UNICEF accorded by the contents and substance of the Convention on Privileges and Immunities of the United Nations adopted by the General Assembly of the United Nations on 13 February 1946, to which the Government of [name of country] is a signatory.[if possible, include reference to this ratification, for instance a date]

IN WITNESS THEREOF the undersigned, being duly authorised, have signed this Country Programme Action Plan on this [day of month] day of [month, year] in [name of city, name of country].

For the Government of

For the United Nations Children's Fund

(Name, Title)

(Name, Title)

ANNEXES:

- (optional) Full or pro-forma Programme Plans of Operations. Full PPOs could be issued as annexes or as Volume II of the CPAP (see Section 5 of this Chapter)
- A Results and Resource Matrix, in accordance with the format suggested in the [UNDG CPAP Guidance Note](#). If possible, a column should be added showing the contribution of the CP results to the MTSP Focus Areas.

Section 5. Suggested Content for the (optional) PPOs

The preparation of PPOs is optional, though many programme managers may find it useful to have a concise document detailing aspects of the specific programme component of the CPAP. PPOs may be prepared as a series of individual documents which together form a second volume of the CPAP or annexes thereof, depending on the needs of the partners. The following elements may be covered in the PPO:

- Executive Summary;
- Reference to the CPAP;
- Summary of the relevant data and findings of the CCA;
- relevant parts of the UNDAF and the UNDAF Results Matrix; national goal and policies; UNICEF Focus Areas as expressed in the MTSP; international agreements including the Millennium Development Goals in the specific sector or area; and sector-wide approaches to programming (SWAs) where these exist;
- Brief justification for the programme, based on the priority problems identified in the CCA and its relationship to the policies and approaches outlined above;
- Objectives for the multi-year programme component, formulated as planned results to be achieved, with indicators as needed;
- Summary of programme strategy and of component projects;
- Geographic coverage and primary stakeholders of the programme (quantified if possible);
- For each project, main strategies, key planned results, and main actors;
- Summary/indicative programme budget for UNICEF inputs, broken down by project, by year and by expected source of funding (RR and OR);
- Summary/indicative government and other agency inputs expected over the period;
- Major partnerships and alliances in the programme area;
- Summary of programme management responsibilities, review, monitoring and evaluation arrangements.

Section 6. AWP Review Checklist

The following check list should be used to ensure logical coherence, SMARTNESS of results statements and that AWP activities are comprehensive, results-based and human rights based.

Step 1: Check that AWP activities link to CPAP results

Activities should be directly linked to CPAP results.

- Check with CPAP Results Matrix and Milestones to make sure that the AWP activities will contribute to all the relevant CPAP results.
- Highlight any AWP activities that do not seem to contribute to a CPAP result (extras), discuss with counterparts and rectify as needed
- Ensure that course of action is consistent with the strategies described in the CPAP (e.g. don't hire a consultant to complete the work, if participatory strategies were to be used)
- Indicate activities that are being undertaken as part of Joint Programmes with other UN Agencies (Noting that AWPs which contain Joint Programme activities will be coded as such in ProMS)

Step 2: Check that Emergency activities are included

The following CCCs should be included in AWP activities for each section:

- Conduct joint assessments when emergency occurs
- Actively participate in emergency sectoral task force meetings
- Training of identified partners in Emergency Preparedness and Response
- Develop a comprehensive emergency supply plan including pre-positioning and follow up its implementation
- Highlight emergency related activities (as these have to be coded in ProMS)

Step 3: Check that Monitoring and Evaluation activities are included

Make sure Monitoring and Evaluation issues specific to the programme (jointly or with other programmes/agencies) are included. It should be indicated how activities will be monitored, and by whom, and how the findings of such assessments will be discussed. Define the frequency of field monitoring visits, and the involvement of partners in monitoring activities. Include as activities any planned research, evaluations and budget for (government) staff time and funds accordingly. Support to country analytical work should be included in the AWP, as appropriate.

Step 4: Check that AWP matches with IMEP

- Make sure that the AWP includes all monitoring, assessment and assurance of implementing partners, evaluations, data collections exercises, studies, research and other analytical work planned for the year in IMEP (as far as these are to be carried out by implementing partners)
- Make sure that IMEP is consistent with the UNDAF IMEP and includes all the studies identified in each AWP and that synergies with other sections are identified
-

Step 5: Ensure that activities/results are SMART and in Change Language

The AWP should set specific and measurable outputs, which can be achieved by December of the same year with the available funds, and which contribute to the planned results expressed in the CPAP.

Each activity should be described as precisely as possible in the AWP, and should leave no uncertainty as to:

- **Who** is responsible for carrying out this activity? Include activity descriptions that clearly define the responsible partner.
- **What** exactly will be done?
- **Where** is the activity going to take place?
- **When** will the activity start and end?
- **With what?** What human or financial resources are being committed, including those to be received from other UN organizations if it is a Joint Programme AWP?
- **Whether preparations** been done to ensure that implementing partner is ready and has the capacity to undertake the activity?

Ambiguities can be avoided by fully describing the activities (e.g. instead of: “health planning workshop”, write: “Director of PHC to organise 3-day meeting in July, in Abaca, for all 25 DHOs to agree on the format and components of each District Work plan, to ensure immunisation outreach to all communities”).

- S** **PECIFIC:** the result is clearly stated and described in change language;
- M** **EASURABLE and MONITORABLE:** an assessment is possible to decide whether the result has been achieved;
- A** **CHIEVABLE:** the result correlate to a target that can feasibly be attained by the programme partners with UNICEF support. All necessary resources are identified and budgeted for;
- R** **ELEVANT:** the planned result represents a milestone in the results chain, leading to the achievement of commitments related to the Millennium Declaration, and national priorities;
- T** **IMEBOUND:** the achievement of the results is likely to happen within the plan period. There is an expected date of accomplishment, usually by or before the end of the programme cycle.

To ensure a focus on results, “change” language, and not “action” language should be used when preparing AWP. This avoids formulating outputs that only reflect a set of completed activities. Change language is more likely to clarify the place of the output in the bigger results chain, leading to the attainment of key results for children over the full programme period. It also sets more precise indicators for success:

Action language: Output 1: Prepare interactive curriculum;

Output 2: Train 50 teachers;

Annual objective: 50 teachers trained in new interactive curriculum.

Change language: Output 1: New interactive curriculum ready for implementation; *this formulation recognizes that after preparation other steps (such as approval by an expert group) might be necessary: perhaps additional activities should therefore be added.*

Output 2: 50 teachers oriented on new curriculum; *whether this is done through training workshops, on-the-job training, distant learning or a combination of all of these will be clarified through the activity description.*

Annual result: 50 teachers know how to teach interactively. *This “change” will only materialise if the curriculum was of adequate quality, and if the training methodology was successful!*

Next result in result chain: Next year’s result is to ensure teachers actually apply what they know. It could be achieved through an effective supervision system that also checks whether interactive teaching is applied. The results chain leading to better learning achievements by children is clear.

Step 8: Ensure that budgets are matched to results

While it is not necessary to exactly define all the inputs during the AWP planning session, the ProMS input categories help break down costs and arrive at more realistic budgets:

For instance: Prepare video on gender-based violence for viewing in schools.

- Service Contract for desk review and participatory research on perceptions and causes of violence among girls and boys, 3 months, 2 main researchers and 5 adolescent enumerators.
- Cash for review and consensus meeting with 25 participants
- Travel costs for validation of research findings and film content with young people. 8 people, 3 weeks.
- Service Contract for film production company, lump sum
- Cash for launching events and promotion of the film
- Supply requisition for duplication of video (1500 copies), etc...

Step 9: Assess the risk of not achieving full implementation of the AWPs

Such an assessment should include, but not limited to the following questions:

- Is national capacity available to implement the AWPs?
- Is there sufficient buy-in by the decision makers?
- Are baselines and indicators adequately defined?
- Can the programme be implemented within the existing national policies?
- Is there any likelihood of securing resources for the unfunded portions of the plan?
- Has the AWP been assessed to ensure that it can realistically be implemented within the time period stated?
- Have the constraints identified during the annual programme and management reviews been integrated or taken into account in formulating the Annual Work Plans?

Analyze risks and constraints identified and internalize them into the AWPs where feasible.

Step 10: Ensure that the corresponding and supportive activities involving UNICEF staff are reflected in the Annual Management Plan.

Section 7. Integrated Monitoring and Evaluation Plan (IMEP)

This section provides additional details for completion of both the multi-year and the annual Integrated Monitoring and Evaluation Plan (IMEP). The IMEP for the UNICEF-supported Country Programme necessarily links to the UNDAF M&E Plan which is covered in the [CCA/UNDAF Guidelines](#). For a stand-alone version of all the IMEP-related guidance in the PPPM, see Evaluation Technical Note no. 4.

Multi-year IMEP

The multi-year IMEP is an essential element of the CPAP and should be submitted with this document to ROs and Headquarters.

Criteria for a good multi-year IMEP

A good IMEP:

- Clearly prioritises a limited number of major research, monitoring and evaluation activities per year, not more than were completed successfully in the previous year, unless CO capacities have changed dramatically or the previous year was intentionally and strategically a low implementation year for M&E.
- Integrates data collection activities across sectors and programmes as this is a critical means of reducing M&E costs.
- Provides a handy reference to monitor information flow for results-based management for the CO, partners and donors.
- Provides a reference for annual planning exercises to ensure that major data collection activities feature in Annual Work Plans and individual work plans.
- Is refined and adjusted on an annual basis according to new information on major events using M&E data or on partners' major data collection activities, any corresponding shifts in data collection priorities, or changes in CO and partners' capacities.

The format

Table 3.4 Format of a Multi-year Integrated Monitoring and Evaluation Plan (IMEP)

	Year 1	Year 2	Year 3	Year 4	Year 5
Major events/ processes using research, M&E data					
Surveys, studies (including SITAN related)					
Evaluations					
Monitoring systems					
Partners' major data collection activities					
M&E capacity development (UNICEF and partners)					
Publications (optional)					

The multi-year IMEP cannot be developed and would be incomplete without some form of programme [Logframes](#) as a basis for identifying indicators and means of verification. Where COs have not used a programme Logframe as detailed in this manual, the [UNDAF M&E Framework](#) may be used as a reference. The latter is a required part of the UNDAF M&E Plan and details agency specific CP outcomes and outputs, their indicators and sources of verification.

- **Major events/processes using research, M&E data** are identified in the multi-year IMEP as a planning reference, to keep the focus on users when situating the timing of data collection activities. This section of the IMEP should reflect any relevant events/processes identified in the UNDAF M&E Plan, for example, national or international conferences, MDG reporting, preparation of the PRS, as well as joint review exercises under the UNDAF and preparation of the next CCA, the UNDAF and individual UNCT agency CPs. This section may include some events that are not UNICEF-sponsored, but are opportunities for UNICEF to influence decision-making with data and analysis on the situation of children's and women's rights. This section would also likely include the formal UNICEF Mid-Term Review or known major donor reviews. This section in particular is developed further and refined in each annual IMEP.
- **Surveys and studies** refer to major UNICEF-supported surveys (e.g. MICS) or research. This section should reflect key activities contributing to an ongoing monitoring of the situation of children and women. Research will be typically oriented to exploring the underlying causes of a problem/issue where information gaps were identified in a SitAn and/or CCA. Surveys may be national or sub-national in scope; they may focus on the general situation of a population or be more focused on assessing programme outcomes. Joint surveys and studies identified in the UNDAF M&E Plan will appear here. Important surveys conducted by partners such as DHS should be shown in the section "Partners' major data collection activities".
- **Evaluations** that ultimately figure in the IMEP should be focused on the most important strategic management questions. Major programme evaluations are likely to precede the Mid-Term Review as well as the UNDAF evaluation and development of the new UNDAF and Country Programme. Evaluations of pilot initiatives will usually be situated early in the programme cycle (year 1 or 2). Ideally, opportunities for joint evaluations will have been identified in the UNDAF M&E Plan and will also appear here.
- **Monitoring systems.** This category includes planned activities to strengthen the monitoring systems at national levels or sub-national levels, e.g. Health Information System (HIS), Country Reporting and Information System (CRIS), DevInfo, sentinel surveillance systems (for disease, nutrition, etc), early warning systems and others.
- **Partners' major data collection activities.** Other organisations/institutions may be able to provide valuable data for situation monitoring and/or research relevant to the CP. Identifying such data collection activities planned by others helps to avoid redundant efforts and build partnership in data collection. Relevant UN partners' data collection work will already be identified through the process of preparing the UNDAF M&E Plan. It is also important to identify relevant work of national institutions, NGOs and donors.
- **M&E capacity development.** This listing will show scheduled capacity development activities for improved national data collection and research, for example a MICS training preceding the actual MICS survey; training preceding the introduction of DevInfo, or a longer effort to strengthen a national evaluation or statistics offices or national networks etc.

- **Publications.** This is an optional section of the IMEP. Scheduling the publication of UNICEF-supported monitoring, evaluation and research work in the Multi-Year IMEP facilitates better assessment of work load and resources required in carrying M&E activities through to dissemination.

The process

The IMEP flows directly from the results frameworks and programme [LogFrames developed in the CPAP](#). It will also be developed with reference to other agency M&E plans and must be consistent with the eventual UNDAF M&E Plan. (As mentioned above, where COs have not developed full LogFrames, they can refer to the UNDAF M&E Framework, part of the UNDAF M&E Plan.)

Step 1: Setting parameters

Two types of parameters need to be established:

- Identify the major events/ processes using research, M&E data that are known over the next 5 years.
- Set a realistic number of major research, monitoring and evaluation activities that the CO and partners can undertake in a year. The recommended limit is 3 to 5 major research, monitoring and evaluation activities per year, depending on the CO and partners' capacities, including human and financial resources. In assessing overall capacities, one of the most critical and often overlooked issues is the necessary human resources capacity -- both skills and time -- to manage M&E activities and ensure process and products meet quality standards. The CO should not plan more research, monitoring and evaluation activities than they were able to implement in the previous year, unless CO capacity has changed dramatically or the previous year was intentionally and strategically a low implementation year for M&E.
- Identify and list partners' major data collection activities that are relevant to the CP outputs and outcomes. As mentioned above, these may already be identified in the process of developing the UNDAF M&E Plan and may already have been cited in the programme LogFrames. Possibilities are also sussed out through further dialogue with UN partners and with other key actors – relevant national institutions, independent research bodies, INGOs, NGOs and donors.

Step 2: Integrating research, M&E activities across programmes

Review all major research, monitoring and evaluation activities identified as “Means of Verification” in programme LogFrames. These can be plotted in the multi-year IMEP format and assessed in terms of opportunities for convergence:

- Where the type of data collection activity is the same (qualitative studies, household surveys, evaluations);
- Where the scope is the same (geographic region, population group);
- Where the unit of analysis for data collection (households, communities, service points) is the same, could be the same if the indicators were adjusted, or could feasibly be collected in a same exercise;
- Where the timing is the same or could be adjusted.

This process should produce a reduced list of data collection activities which translates in reduced costs for all partners involved.

Integration of research, monitoring and evaluation activities may come not only through opportunities for convergence across programmes within the CP. This step may also identify new opportunities for joint activities, i.e. integrating UNICEF-supported CP-related M&E activities with research, monitoring and evaluation activities of other partners.

Step 3: Identify M&E capacity development needs

For all of the research, monitoring and evaluation activities identified, critical capacity gaps are identified, especially skills/knowledge but also other institutional capacity gaps. Without developing specific activities, the magnitude of effort, resources required and timing of capacity development efforts is traced out and reflected in the multi-year calendar.

Step 4: Prioritise data collection activities.

Where the number of research, monitoring and evaluation activities per year exceeds the parameters set from a practical management perspective, priorities are established and lower priority activities dropped. The relative workload for different M&E activities is considered, including options for reducing workload. Prioritisation includes consideration of:

- Strategic importance of data provided – who are the users, how important are the decisions that will be taken;
- Adequacy (from a users' perspective) of alternative indicators available from existing monitoring systems which can justify dropping more resource intensive M&E activities;
- In light of the above, cost-effectiveness of originally identified research, monitoring and evaluation activities.

Step 5: Adjusting Logframes and budgeting M&E costs

Where research, monitoring and evaluation activities in initial programme Logframes have been adjusted or dropped in developing the IMEP, Logframes are revised. The IMEP thus leads to simplification and streamlining of the indicators and means of verification for each programme based on feasibility and priority data and analysis needs. The IMEP also provides a reference to work out at least rough resource provisions for M&E in the CPAP, Summary Budget Table.

Where the process of developing the IMEP points to any major changes in UNICEF and partners contribution to M&E activities already established in the UNDAF M&E Plan, this must be discussed with other partners in the UNDAF. The UNDAF M&E Plan will often be adjusted after agencies have developed their M&E plans for the CPAP. Even where the IMEP leads to no major changes, it is shared with other partners in the UNDAF for general purposes of coordination and information sharing.

Gauging workload

The workload, time and funds associated with monitoring, evaluation and research activities are often underestimated. Experience has shown the following general rule:

- Low workload: Programme partners can often rely on external institutions to design and implement *studies*
- Medium workload: Programme partners are usually involved in the design of *surveys, data analysis and reporting*, but the core of the work can be handled by an external team
- Heavy workload: Programme partners normally participate intensively in *evaluations*.

The annual IMEP

The annual IMEP is an essential element of the AMP and is a complement to the listing of quality assurance indicators for programme and operations management therein. One without the other is incomplete. The annual IMEP brings together the major activities for M&E of the CP and M&E for UNICEF programme and operations management, laying out a realistic and manageable means of undertaking both.

Criteria for a good annual IMEP

A good annual IMEP:

- Clearly prioritises a limited number of major research, monitoring and evaluation activities for the year, not more than were completed successfully in the previous year, unless CO capacities have changed dramatically or the previous year was intentionally and strategically a low implementation year for M&E.
- Integrates data collection activities across sectors and programmes as this is critical means of reducing costs for M&E.
- Provides a handy concise reference to monitor information flow for results-based management for the CO. It helps the CO staff to see which M&E activities are most needed for which purpose and thus to further prioritise when implementation is slowed or resources must be reallocated. The segments of the annual IMEP related to M&E of the CP are also a reference to be shared with partners and donors and can easily be reproduced eliminating references to UNICEF internal M&E.

Format

Table 6.6.1 Standard format of a annual Integrated Monitoring and Evaluation Plan (IMEP)

	1 st quarter	2 nd quarter	3 rd quarter	4 th quarter
External events/ processes using research, M&E data				
Internal PPMilestones				
Surveys, studies (including SITAN related)				
Evaluations				
CP monitoring systems				
CO internal monitoring systems				
Partners' major data collection activities				
M&E capacity development (UNICEF and partners)				
Publications (optional)				

The above is the required format for the annual IMEP. Most of the rows are the same as in the multi-year IMEP. Differences are as follows:

- **Internal Programme Process (PP) milestones** are separated out from External events/processes using research, M&E data. The internal milestones should include: mid-year reviews, stages of the UNDAF Annual Review and planning process.
- **CP monitoring systems** are distinguished from monitoring systems focusing on UNICEF CO performance alone. CP monitoring systems will include specific activities to support national or sub-national information systems as identified in the multi-year IMEP.
- **CO monitoring systems** include specific activities to improve or develop internal monitoring systems to track data for CO programme or operation management quality assurance indicators, as identified in the AMP.
- **M&E capacity development** will at this stage be much more clearly defined in terms of what interventions and activities, for what audiences, to build what elements of capacity as well as timing.

With smaller Country Programmes, not every row will ultimately have activities each year. It is however necessary every year to flesh out those rows that serve as planning references – External events/processes using research, M&E data; and Internal PP milestones – as well as Partners’ major data collection activities. For each of these, new information is usually available for the current year and may point to changes in what is planned. In the annual IMEP, activities should be detailed with specific months where relevant.

Table 6.6.2 Optional worksheet for programme and operations management indicators

Key results	Indicator, baseline & target	Means of verification (MOV)
Programme management		
Cross-cutting/process issues		
Operations management		

It is required as part of the Annual Management Plan to have a listing of programme and operations management indicators. The above format is an optional worksheet that can accompany the annual IMEP, to help specify how each indicator will be monitored. Neither the required listing nor this optional table should be longer than a page for the whole CP for the year.

- **Key results** are included to help COs define what they are trying to achieve before moving to defining indicators. Key results for programme management will most often correspond to the most critical activity outputs lifted from Annual Work Plans. (Considerations in the selection are explained below under *Process*). COs may also choose to identify a few critical cross-cutting or process results that are pivotal to the quality of the programme – for example, strengthening of gender analysis in assessment and analysis elements in all programmes, integration of protection considerations in all programme delivery. Finally,

the CO will choose a few pivotal outputs in the area of Operations that are critical to achieving programme results.

- **Indicators, Baselines and Targets.** The indicator is the objective measure (e.g. girls' enrolment rate), the baseline is the initial level measured for that indicator, and the target is the explicit statement of desired results for the indicator over a specified period of time. Wherever possible the CO should look to simplify, choosing the most cost-effective indicators, which entails thinking ahead to means of verification.
- **Means of verification (MOVs)** for the selected management indicators will most often be simple work plan monitoring or extracting data from existing information systems (e.g. PROMS). Management indicators for cross-cutting issues are often covered through field monitoring or programme/project reporting mechanisms. A few indicators may require some additional form of data collection for monitoring. It is important that additional monitoring activities are not adopted without weighing the cost-effectiveness of the information provided for decision-making.

The process

The development of the annual IMEP is integral to the development of AWP and the AMP.

Step 1: Refining the multi-year IMEP

Prior to working on AWP and the AMP, it is important to review the multi-year IMEP to check on its continued relevance. New events or processes that draw on M&E data, i.e. where UNICEF has an opportunity to influence decision-making with good data on the situation of children and women, may be identified. This may add to the demands for results from research, M&E activities. Additional major data collection activities of partners' may also be identified, potentially reducing M&E demands on UNICEF and partners.

Work planning for M&E activities

In planning for major surveys, research and evaluation activities, it is useful to consider the time and major resources required for each of the following common tasks: developing the TOR, selecting the data collection team, further methodology design and testing, data collection, data analysis, dissemination workshop, publication, etc. For more guidance see *UNICEF M&E Training Resource*, Module 3, Managing M & E Activities.

Step 2: Integrating M&E in AWP

Each programme manager will refer to the multi-year IMEP, to ensure that relevant research, monitoring or evaluation activities already identified are integrated in the Annual Work Plans (AWP) as discrete activities with budgeted resources. Where one data-collection activity cuts across programmes, a decision is taken as to who will manage and which AWP budget will cover the activity.

Step 3: Defining programme and operations management indicators for the AMP.

In developing the AMP, the CO develops a set of quality assurance indicators for programme and operations management. These can be worked out using the format in Table 6.6.2 above. In refining a manageable list of indicators it is useful to focus on:

- Results that are indicative of the overall progress (e.g. no. of children immunized/month as a programme result; timeliness of cash and supply deliveries as an operations management result);
- Results that are necessary conditions for other outputs to be realized this year or next (e.g. development of a new curriculum which kicks off a series of roll-out activities in education);
- Result areas that are considered problematic, where there are known challenges in delivering an input or implementing an activity (e.g. development of a human rights network in a politically charged context as a programme result; increasing attention to marginalized populations as a cross-cutting result; or reducing outstanding Cash Assistance to Government as a management result).

Note that in unstable or crisis contexts, COs will often identify a few contextual assumptions pivotal to programme implementation – e.g. coverage of access -- that will similarly be reviewed periodically to check its affect on programme progress and adjust operational strategies as necessary.

Step 4: Integrating the annual IMEP

With AWP's developed and a list of key indicators and MOV's identified, the CO must then assemble all major research, monitoring and evaluation activities into the annual IMEP format. This will include those originally identified in the multi-year IMEP as well as any new ones identified through the AWP and AMP processes. As with the multi-year IMEP, opportunities for integrating M&E activities across sectors/programmes are examined. Similarly, where the major research, M&E activities planned exceeds what is considered manageable, the CO must prioritise and eliminate lower priority activities.

Section 8: Country Programme Evaluation (CPE)

Basic definition of CPE

The UNICEF Country Programme Evaluation (CPE) is an independent and credible assessment of the overall performance of UNICEF-supported Country Programmes of Cooperation (CPC). The CPE is meant to support *strategic decision-making concerning the remainder of the current CPC* as well as *the preparation of the next CPC*.

The assessment addresses *relevance, design and focus* of the CPC, their *effectiveness and efficiency* as well as the *sustainability* of results. The CPE also reviews *supporting and cross-cutting strategies* e.g. Results-Based Management, Human Rights Based Approach to Programming, gender parity and equality, partnerships for shared success, as well as generation of knowledge.

CPC outcomes are reviewed in relation to *national development policies and strategies* (including *Poverty Reduction Strategies*); *Millennium Declaration, MDGs, other internationally agreed goals, targets and principles*; *UNDAF outcomes* as well as *targets and strategies of UNICEF's MTSP*.

When to undertake a CPE?

The CPE is an alternative to and should replace the traditional MTR when a CPC is in need of a *major renewal or re-alignment* because of, for example,

- dramatic and rapid changes in the situation of children requiring new medium and long term thinking (e.g. due to a rapid increase of HIV/AIDS),
- major policy changes in the country (important new policy initiatives of the government);
- new funding opportunities or rapid decreases of available funding; and / or
- new demands on the Country Programme by partners (e.g. other development partners soliciting a clearer and more constructive role in UNDAF and / or PRSP);
- post-crisis transition situations with a view to bridging the gap between relief, rehabilitation and development.

CPE is *not* the preferred approach when there are already strong UNDAF review and evaluation mechanisms in a country as part of joint programming (e.g. Cape Verde) or a scheduled UNEG led Country Level Evaluation (CLE) (e.g. South Africa).

A decision whether to undertake a CPE in a specific country is usually made at the regional level (Regional Office, possibly with Regional Management Team endorsement) on the basis of a demand from a specific country. The conduct of the CPE has so far mostly involved a strong management role by the Evaluation Office at Headquarters.

Under exceptional circumstances, the initiative to undertake a CPE may also originate from the Executive Board (as was the case for the CPE of the Pacific Island Countries), from senior management in UNICEF or from a donor.

CPE is best conducted around the mid-point (e.g. for a five-year programme cycle in year 3) or a short time afterwards (year 4) of the five-year programme cycle so that recommendations and lessons learned can be used in the remainder of the CPC and / or in the shaping of the next CPC. It is hence not an end-of-cycle evaluation, as at that point it is too late to have any impact on major management decisions.

Typical purposes of a CPE

Depending on the specific country programme contexts and also in the broader context of UNDAF, the CPE will typically serve the following purposes:

- To determine how the UNICEF-supported CPC has helped national partners (possibly in close association with other UN agencies / UNDAF) to contribute more effectively and efficiently to national development efforts and capacity development;
- To learn from experiences of the current programming cycle, and identify issues and opportunities emerging from the implementation of the current CPC (and UNDAF), to inform the design of the next CPC (and UNDAF) as well as adjust the current programming as relevant.

To the extent that the CPE is jointly undertaken by and with national partners, it is also an important *learning-by-doing* opportunity for evaluation capacity development.

Objectives and key issues / evaluation questions

Similarly it is possible to formulate some general objectives, which follow [evaluation criteria of OECD / DAC](#). They should, however, not be used as a blueprint, but as a source of inspiration to craft more concrete objectives and key questions, that address the realities of the role, contribution and strategy of the CPC (and UNDAF) in given country contexts.

General *objectives* of the CPE (in the context of UNDAF) are the following:

- Assess the *role* and *relevance* of the CPC (i) in relation to the issues and their underlying causes, and challenges identified by the CCA / Situation Analysis undertaken at the beginning of the current programme cycle and in the context of national policies and strategies (ii) as a reflection of the internationally agreed goals, particularly those in the Millennium Declaration and in the MDGs, and international norms and standards guiding the work of agencies of the UN system and adopted by UN member states:
- Assess *design* and *focus* of the CPC, i.e. the quality of the formulation of results at different levels, i.e. the results chain in terms of adherence to principles and good

practice of Results-Based Management (RBM) and the Human Rights Based Approach to Programming (HRBAP).

- Assess the validity of the stated collective *comparative advantage* of UNICEF, i.e. the unique role and contribution made by UNICEF in the national context, the anticipation and responsiveness to significant changes in that context as well as synergies and alignment of UNICEF support including the degree the programme was successful in leveraging resources towards results.
- Assess the *effectiveness* of the CPC in terms of progress towards agreed CPC / UNDAF outcomes (results) and to the extent possible, assess the *impact* of the CPC on the lives of the poor (especially children and women), i.e. determine whether there is any major change in social indicators that can reasonably be attributed to or be associated with the UNICEF supported CPC, notably in the realization of MDGs, National Development Goals and the national implementation of internationally agreed commitments and UN Conventions and Treaties.
- To the extent possible, assess the *efficiency* of the CPC in terms of minimizing transaction costs of UNICEF / UN support for the government and for the UN agencies;
- Analyse to what extent results achieved and strategies used by the UNICEF supported Country Programme and projects are *sustainable* (i) as a contribution to national development and (ii) in terms of the added value of the CPC for cooperation among individual UN agencies.

A common mistake is to overload terms of reference of a major evaluation with too many key issues and questions under each of these objectives. This often happens when terms of reference are developed through a participatory process and are expected to reflect a consensus among clients and other stakeholders. It is important to limit the number of evaluation questions to two or three under each objective and to make sure that they reflect a clear focus that is appropriate given the specific purpose of the evaluation.

How to ensure independence, credibility and usefulness of the CPE

The independence and credibility of the evaluation will largely depend on a clear separation of roles and responsibilities of those who are involved in the implementation of the Country Programme and those who evaluate it. United Nations Evaluation Group (UNEG) [Norms](#) and [Standards](#) clearly indicate that evaluators (i.e. evaluation teams and evaluation managers) should not have been involved in the implementation of the unit that is being evaluated. This provision applies both to the past and to the future, i.e. there should also not be an expectation that evaluators may become involved in implementation in the future.

On the other hand, in order to ensure the usefulness of the evaluation it is vital to closely involve the clients of the evaluation, i.e. those who are supposed to make use of findings and recommendations. Key actors in the CPE process are hence:

- The signatories of the CPC, i.e. the partner institution of the government of the programme country (e.g. the Ministry of Foreign Affairs) and the UNICEF Representative are the main clients of the CPE. They have to remain involved through the CPE process. The CPE seeks to inform and support their decision-making, e.g. at the MTR or when submitting the strategy document and, at a later stage, the UNDAF document and the CPD. To the extent that the CPE is commissioned by other stakeholders, e.g. higher levels in the government of the country, the Executive Board, senior management in UNICEF, a donor, the Regional Office etc., these automatically become major clients who need to be consulted at an early stage as to purpose and usefulness of the evaluation.
- *Steering, reference or core learning groups* usually count among their members the clients of the CPE, i.e. those who may make use of the CPE in their decision-making as well as other stakeholders, e.g. representatives of line ministries, regional and local government, NGOs and CBOs, the private sector, donors, other UN agencies etc. It is good practice to seek gender balance in these groups and allow for voices of children and youngsters to be heard. The function of steering groups is to guide the evaluation team and the evaluation managers by commenting on draft TOR as well as on interim and final products (e.g. inception report, draft reports, management response and action plan). They primarily serve as a sounding board for emerging findings and conclusions and hence play an important role in their validation. They should also actively be involved in the formulation of recommendations and lessons learned, as many members (especially the clients of the evaluation) will have to respond to them and possibly implement them.
- *CPE managers:* On the side of UNICEF, CPE will be managed by senior staff of the Evaluation Office at Headquarters or of Regional Offices. Ideally the *evaluation manager* should not be part of the team, e.g. act as team leader. Since the CPE is a joint evaluation, the government should appoint an independent evaluation manager who acts as the counterpart of the international manager. The essential task of the combined Evaluation Management Team is to ensure sound evidence-based methodology and respect of evaluation standards. In practice it has proven difficult to find national evaluation managers, as not many countries have institutionalized an independent evaluation function in their administration. It is, however, good practice to explicitly pose the problem and look out for creative solutions, e.g. the appointment of a national academic institution who could assume this task. In case the CPE is a joint exercise (e.g. with one or more other UN agencies or with a donor), it may be necessary to create a more complex management committee. In that case it is, however, good practice that one agency clearly takes the lead.
- *Evaluation teams* will usually be composed of consultants, though in some cases UNICEF staff may also be involved. It is important that the principle of separation of responsibilities will be observed. Evaluation teams should to the greatest possible extent be gender-balanced and demonstrate a high degree of gender sensitivity and gender expertise. Another requirement is that teams should count members who usually work internationally as well as national team members. Ideally gender balance would exist for both international and national team members, especially in countries where access to women is often not granted to men. To the extent the expertise in technical areas exists in the country, preference should be given to the recruitment of nationals. It may, however, still be useful to maintain a certain

international presence in the team in order not to lose the perspective of global mandates and standards.

The CPE *process* is as important as the main output, i.e. the CPE *report*. The different stages of the CPE process are a) preparation; b) inception; c) data-collection, analysis and validation of findings, conclusions and recommendations and d) finalization of the report and follow-up (see below).

CPE preparation phase

Preparatory mission: Once the decision has been made to undertake a CPE it is important to define *roles and responsibilities* in the CPE process and identify *key actors* both on the side of the partner country and of UNICEF. In practice, this should be done during a *preparatory mission* by Evaluation Office and / or Regional Office M&E staff to the country which will allow for consultations with both national evaluation managers and other stakeholders as well as with the UNICEF Country Management Team. The main output of this preparatory mission will be Terms of reference for the CPE (TOR of previous CPE can serve as models and sources of inspiration).

Documents: During the preparation phase, it is also necessary to collect all relevant documents. Key documents of the CPC are CPD and CPAP as well as CCA and UNDAF document. Other important documents that govern the full period of the CPC are the *Country Programme Management Plan (CPMP)* and the *Integrated Monitoring and Evaluation Plan (IMEP)*. Major documents are also the last update of the *Situation Analysis*, any recent *Multi Indicator Cluster Survey document*, the last MTR Report as well as major evaluations conducted in the past. Annual programme documents and reports usually give a more precise idea what the CPC is really about: the *Annual Work Plans (AWP)* and / or *Project Plans of Action (PPA)*, the *Annual Management Plan (AMP)* as well as the *Annual Programme Reviews (APR)* and *Annual Management Reviews (AMR)*. A special place is occupied by the *Annual Reports*, which have in recent years become shorter and more selective in their coverage.

In addition to documentation from UNICEF and the UN, it is vital to collect all major documents that govern policies and strategies in the country, e.g.: *National Development Plans, MDG Plans, Poverty Reduction Strategies, Sector Wide Approaches, Sector Investment Programmes*, etc. Strategic documents and reports of International Financial Institutions (e.g. *Country Assistance Strategy* of the World Bank) and bilateral donors are also very important. Country profiles and country briefs (e.g. from The Economist and other major news media) are also useful. In practical terms, the Country Office should be consulted concerning key documents at this early stage and a web-search may produce interesting additional information.

Selection and recruitment of consultants. Minimum requirements for the consultants are: a) all members of the team should be established experts in their respective fields and have an excellent knowledge of evaluation norms, standards and approaches (especially UNEG Norms and Standards) as well as of quantitative and qualitative methods of evaluation. b) good knowledge of the situation of children and overall national development policies and strategies should be present in the team; c) at least one member of the team should have extensive programming experience at field level within UNICEF; d) excellent knowledge of English (oral and in writing) is essential for

all members of the team and knowledge of any of the national and local languages of the country should be provided by at least the national team members.

Consultants can be recruited either as teams or as individuals. In the former case, there will have to be a call for proposals from institutions and institutional contracts will be issued. The latter case involves selection among individual candidates on the basis of CVs, evidence of previous work that is relevant and references. Both approaches have advantages and disadvantages:

- Consultancy firms or consortia of firms provide a full package of services, including a functioning team of experts, some logistical backup (e.g. secretariat, travel arrangements, etc.) as well as quality assurance. In principle, they assume responsibilities, which would otherwise fall on the evaluation manager. The potential disadvantage is that firms or academic institutions are primarily loyal to themselves and this may in some cases come in the way of establishing good relationships with the government, other national partners and the UN or UNICEF.
- Individual consultants usually do not know each other or the team leader when they join a CPE team. Different professional and cultural backgrounds may make it necessary to first develop a common understanding of the assignment and harmonize individual working habits. This may place a heavy burden on the team leader and in some cases also on the evaluation manager, as CPE usually face severe time constraints which do not allow for such adjustments. On the other hand, the employment of individual consultants is usually less burdensome in administrative terms and also offers greater chances that the evaluators blend harmoniously into the programme context.

UN and UNICEF procedures require the comparison of at least three candidates or proposals. In practice, there will be a public call for CVs or proposals which produce many more offers of services. It is good practice that TOR contain clear requirements for each member of the team and that these provisions are included in the advertisement. To ensure transparency of the selection process, each step needs to be carefully documented. Beyond a certain threshold related to the value of the contract, it is necessary to ask clearance from the Contract Review Committee (CRC). To the extent that country ownership and leadership can be ensured, national partners should be involved in the selection process.

Inception phase

Once the CPE consultant team has been selected and recruited, it is important for the CPC management and the evaluation managers to provide a thorough briefing to the team concerning expectations and organization of the CPE process.

To allow for country ownership and leadership this inception phase should happen in the country itself, which will usually involve a second visit to the country by the evaluation managers. This inception phase will usually involve meetings with the signatories of the CPC (partner institution in the government and UNICEF Representation and the Country Management Team), the national evaluation management institution, the UN Resident Coordinator and the UN Country Team as well as with various other clients and stakeholders (e.g. ministries, NGOs, donors, etc.).

It is good practice to convene the steering committee / reference group for the first time at this stage to present TOR, listen to suggestions for the conduct of the evaluation and gauge expectations.

The Evaluation Team will also have an opportunity to familiarize itself with and complete the documentation assembled during the preparatory phase. During this phase, it will also define roles and responsibilities of each of the team members.

It is good practice that the team produces an *inception report* within 15 days after the beginning of the exercise, which should contain the following elements: a) understanding of the assignment (interpretation of the terms of reference); b) a clear description of the approach and methodology that will be employed to conduct the evaluation (including tools for interviews, focus group discussions and surveys) and c) a work-plan for the team as a whole and its members if the team intends to split up in order to carry out field work during part of the exercise; and d) an annotated outline of the evaluation report. The inception report should be reviewed by the Evaluation Management Team, which may result in some adjustments

Data-collection, analysis and validation of findings, conclusions and recommendations

Any CPE should take into consideration commonly agreed evaluation norms and standards (OECD/DAC and Evaluation Associations) to ensure *utility* (ownership by stakeholders), *feasibility* (political viability and cost-effectiveness), *propriety* (impartiality, respect of rights of stakeholders, cultural sensitivity) and *accuracy* (adequate information). [UNICEF's evaluation report standards](#) should be followed when preparing the evaluation report.

Key methods for the conduct of a CPE have usually been:

- A comprehensive desk review of external and internal documents that are relevant to past and current Country Programmes;
- A review of past and recent studies, reviews and evaluations of projects and programmes;
- An extensive round of interviews and focus group discussions with key stakeholders in the past and present Country Programmes
- Field visits to the selected field sites to gain first-hand information of the implementation of projects and programmes. The selection of sites for field visits will be inspired by one or more of the following criteria:
 - the maturity of the programme, project or activity within the Country Programme;
 - the wealth of experiences and the chances of their generating interesting lessons;
 - strategic interest of the programme, project or activity for the whole Country Programme;
 - Interest of the experiences in the context of the inter-agency collaboration of the UN (UNDAF).

- Other methods as deemed appropriate, e.g. surveys among stakeholders and specific methods that generate insights into children’s perspectives⁷.

In all cases the CPE should be a participatory process that will give due importance to self-assessment by stakeholders involved in Country Programme design and implementation.

All information should to the largest possible extent be triangulated (use of three or more sources of information to verify and substantiate an assessment) and validated. Findings, conclusions, recommendations and lessons learned should clearly be evidence-based and user-oriented.

Past experience has shown that CPE may encounter several challenges during their implementation:

- Although there has been a trend over the past years to adopt HRBAP and RBM principles and situate UNICEF supported Country Programmes within UNDAF and national policies and strategies, the quality of programme documents is still rather uneven in terms of logic, “SMARTness”⁸ of objectives and indicators and clear articulation of the contribution in the national context. This poses challenges to the *evaluability* of Country Programmes at a level above projects and thematic or sectoral programmes. In some cases, reporting does not allow for an understanding as to what results have been achieved in terms of outputs (direct products resulting from activities), outcomes (behavioural and institutional changes induced by activities and outputs) and impact (lasting benefits in the lives of children). The CPE will not be able to adequately document results in an ex-post fashion and only recommend a better rights-based and results-oriented design for the future.
- Another problem that may considerably handicap the evaluation of the Country Programme: major discrepancies between the key programme documents (UNDAF, CPD and CPAP) and the real programme as it appear in AWP and PPA. CPD and CPAP are often conditional to the mobilization of OR funding. If such funding did not materialize or funding was found for programmes that had not been identified in the CPD or CPAP. The use of unscheduled funding may be much less well programmed than the scheduled funding that did not materialize. This may particularly be the case if a major emergency response component is added to the CPC (e.g. post-Tsunami).

In large and complex Country Programmes it is necessary to make a selection of individual projects and programmes that illustrate the broader questions that need to be addressed by a CPE. Especially in the case of Country Programmes that are still largely project-focused it is not easy to maintain the higher level of analysis. The CPE may perform a challenge function in such cases, but the effort will have to be rather considerable.

Once data-collection and initial analysis have been completed by the team, preliminary findings, conclusions and recommendations should be presented to the clients of the evaluation and possibly

⁷ Managers commissioning such activities are equally responsible for ensuring that ethical issues are identified and resolved in methodology design. See [Evaluation Technical Notes Nr. 1: Children Participating in Research, Monitoring And Evaluation \(M&E\) - Ethics and Your Responsibilities as a Manager](#) (UNICEF EO, April 2002).

⁸ Objectives and indicators should be SMART, i.e. specific, measurable, achievable, relevant, time-bound.

a broader range of stakeholders (the Steering or Reference Group) for validation and discussion. This can be done with the help of a PowerPoint presentation and / or an executive summary of the draft report. During a CPE workshop at the end of the country visit, factual errors can be corrected and analysis can be refined through a participatory process.

It is also good practice to discuss implications and generate lessons learned and recommendations in consultation with those who will eventually be called to implement them. A participatory process creates ownership and increases chances that the evaluation actually induces an improvement in programme performance and / or that national partners sustain programme results on their own.

Finalisation of the report and follow-up

The draft report should not only be reviewed by the Evaluation Management Team, but also by the commissioning institutions (signatories of the CPC), i.e. partner institutions in the country and the UNICEF Country Management Team. Through this process it is likely to become more evidence-based, methodologically sound and politically nuanced.

CPE reports are published by the Evaluation Office at UNICEF Headquarters, once they have been cleared by national partners as well as Country and Regional Offices. There is an acknowledgement of the authors, i.e. the members of the Evaluation Team. All reports are available in English with French and Spanish translations of the Executive Summary. CPE reports on countries using other UN languages (e.g. French or Spanish) are also published in those languages.

Follow-up to a CPE usually includes a *management response* from the clients, ideally the government and the UNICEF Country Office. This response should clearly spell out which recommendations are fully endorsed, those that are but partially accepted and those that will not be followed up and provide reasons why these decisions were made. Elements from the evaluation are usually included in subsequent programming documents, e.g. Strategy Document, CPD and CPAP and properly acknowledged. Oversight of compliance with commitments made in this regard is vested with line management.

Funding and other organizational issues

Depending on the size and complexity of the CPC, a CPE should be completed within three to six months and timed in such a manner that its outcome can feed into strategic decision-making. In practice, this will be a mid-point of the CPC (e.g. in case of a five-year programming cycle in year 3) or just thereafter (year 4).

The involvement of independent evaluation managers and the employment of external consultants are likely to entail a certain *cost* (estimated at between USD 100,000 – 200,000) which under current circumstances will mostly have to be found in Other Resources. On the other hand, the CPE approach should allow for a *reduced transaction cost* in terms of national and Country Office staff time as compared to the traditional MTR.

There is room for improvement in making CPE a more systematic feature of UNICEF programming practice through, for example, a more predictable funding mechanism, more systematic planning by Regional Management Teams and improved tools for management responses. On the other hand, the need to invest in CPE will be contingent on the future of the UNICEF supported Country Programme of Cooperation and may eventually blend with the UNEG led Country Level Evaluation (CLE) approach.

Section 9: Details for Completion of the CPD Summary Results Matrix

The Summary Results Matrix will be *between 2 and 4 pages (maximum)*, depending on the size of throughput of the Country Programme.

Summary Results Matrix					
UNICEF MTSP Focus Area	Key results expected in this Focus Area	Key Progress Indicators	Means of Verification	Major Partners, Partnership Frameworks and Cooperation Programmes	The expected key results in this Focus Area will contribute to
					UNDAF expected outcome: WFFC goal: MDGs:
					As above
					As above
					As above
					As above

Column 1: If the Country Programme does not directly address all five of the Organizational Focus Areas of the UNICEF Medium Term Strategic Plan, **delete** those Areas for which major Results are **not** expected as a result of this Programme of Cooperation. If there are any specific Regional or Country-level priorities which will be addressed by the Country Programme, which fall **entirely outside** the scope of the MTSP Focus Areas, **add** one or more rows to describe the Key Results in this additional area.

Column 2: At least one Expected Key Result should be included for each Focus Area shown in Column One, with a maximum of 3 - 4 (for a very large programme). *These Results will be selected from among - and will be consistent with - the stated Expected Key Results in the preceding text of the Country Programme Document.* They may be shortened for use in the Matrix. They should be SMART and expressed in precise terms, and *quantified wherever possible*, to enable the future use of the Matrix in strategic programme monitoring, reviews and reporting. The selected Results should help the reader understand as clearly as possible, what difference or value-added for children and women will arise from the UNICEF-assisted Country Programme. Avoid combining several results into one statement. Specify statements about the quality, improvement, or implementation of a policy, legislation, or service in verifiable terms. **Not all the related/relevant Programme Key Results contained in the text of the CPD or in the CPAP need be shown as planned results in this Summary Matrix – only a few “key/major” ones should be selected**

Where a current “*baseline*” value is available or can be reasonably estimated for the Key Result, this should be included in this column

Column 3: Each key result in column 1 should have at least one but not more than 2 corresponding indicators in column 2. Results and Indicators should be closely aligned. These Key Indicators, and any others relating to the Result, would also appear in the Integrated Monitoring and Evaluation Plan (IMEP) in the CPAP. If possible, use existing, international standardized indicators. (The Operational Guidance Note on the MTSP Organizational Priorities provides indicators from which a selection can be made, depending on country circumstances). The Indicators will also normally be linked to those included in the UNDAF Monitoring and Evaluation Plan.

Column 4: At least *one* Means of Verification should be included for *each* Key Indicator (one is normally sufficient). These MOVs will also be reflected in the IMEP. *Examples may include:* a national household survey (with expected year); a Multiple Indicator Cluster Survey (with expected year); a local sample

survey (e.g. annual); participatory consultation with service users or district authorities (e.g. bi-annual); routine national reporting systems (e.g. monthly health system reports, civil registration reports); a country programme, programme or project Evaluation (indicate year planned); an end-of –cycle review (year); a government review (year); a Mid Term Review assessment; multi-donor/government evaluation; national sector review; a document review (e.g. whether a policy or legislation meets standards as expressed in the results statement or corresponding indicator) etc.. Note that these timings should be consistent with the calendar of the UNDAF Monitoring and Evaluation Plan, where it exists.

Column 5: This column should indicate the main national implementing counterpart(s) for this area, including NGOs, civil society organizations, community-based organizations, local government, and municipalities (etc), as relevant. It should also indicate any major Partnership Frameworks (e.g. SWAps, PRS) or other programmes of cooperation which complement and relate closely to this MTSP priority area, to show the wider partnerships involved.

Column 6: This column has three components. It:

a) indicates, in concise terms, the *UNDAF expected outcome* to which the expected Key Results in this Focus Area will contribute⁹. More than one UNDAF outcome can be mentioned. The wording of the UNDAF outcome which is shown in the UNDAF document can be compressed for use in the Matrix. If there is no relevant UNDAF outcome, or no UNDAF, omit this component for this Focus Area.

b) states the *World Fit for Children "priority area of action"* to which the Key Results will contribute (see the WFFC Plan of Action, part B). Select from: "Promote Healthy Lives"; "Provide Quality Education"; "Protect against Abuse, Exploitation and Violence"; and "Combat HIV/AIDS". More than one of the four areas of action can be selected. If none of the four is relevant, omit this component for this Focus Area.

c) States the *Millennium Development Goal* or Goals to which the expected Key Results in this Focus Area will contribute. The 8 MDGs adopted by the International Community and issued by the UN Development Group are listed below. The following exact wording should be used in the Matrix:

- Eradicate extreme poverty and hunger [Note: this includes child malnutrition]
- Achieve universal primary education
- Promote gender equality and empower women
- Reduce child mortality
- Improve maternal health
- Combat HIV/AIDS, malaria and other diseases
- Ensure environmental sustainability [Note: this includes access to safe drinking water and better sanitation, and slum upgrading]
- Develop a global partnership for development

More than one MDG can be noted, if directly relevant. If none are directly relevant, omit this component for this Focus Area. If the Key Results relate to the *Millennium Summit Declaration* more widely – e.g. to Section VI of the Declaration on Protecting the Vulnerable – this can also be indicated in the Matrix.

⁹ In countries with a Poverty Reduction Strategy or National Development Plan, the UNDAF expected outcomes will reflect the contribution of the UN system, in turn, to the PRS or NDP.

Section 10. Emergency Preparedness Tool

UNICEF offices are expected to maintain a level of preparedness commensurate with local risks of emergencies to ensure effective, dependable, timely response to the needs of children and women. Every office without an emergency preparedness and response plan (EPRP) should undertake a preparedness planning exercise without delay. Every office preparing a new CPMP should conduct a full preparedness planning exercise. All offices should annually review and update their EPRP.

Preparedness planning will assist country offices to:

- identify potential threats or situations in which children and women may be at such risk that extraordinary action may be required;
- decide on the minimum level of standing readiness appropriate for the office;
- ensure that all staff are aware of tasks and responsibilities for all key programme, operations and management functions;
- determine what further capacity development activities should be included in work plans;
- ensure that staff safety measures are in place;
- establish a basis for UNICEF contribution to inter-agency contingency planning.

Understanding Preparedness

Preparedness. To be prepared is to be in readiness to act. For UNICEF, preparedness for emergency situations involves considering potential threats to children and women, agreeing how best to respond, and putting in place the necessary readiness measures. Preparedness planning is about identifying potential obstacles to an effective response and developing counter-measures. Most difficulties in responding to emergencies can be avoided through better preparedness.

- **Multi-Hazard Focus.** In most countries and in any one year, various types of emergencies are possible. These could be caused by political or economic crises, conflicts, natural disasters, epidemics, or environmental hazards. UNICEF's preparedness approach is broad-based and multi-hazard inclusive.
- **Integrated Approach.** Emergency preparedness and response considerations are understood as an integral aspect of on-going programmes and a shared responsibility of all staff – not as parallel actions to on-going programme activities and not as the concern of specialized staff or units. An integrated approach requires:
 - First, the integration of emergency considerations in all key programming events:

Are emergency considerations adequately included and addressed?

In 5 year planning processes?

- CCA
- UNDAF
- Strategy development
- CPD
- CPMP/IB
- PBR meeting
- CPAP
- AWP/AMP

In the mid-term review cycle?

- Country Analytical Work
- Mid-term review
- Mid-term management review
- Modified CPAP
- Modified CPMP

In annual implementation?

- Programme activities/ AWP
- Coding of emergency activities in ProMS
- Monitoring
- Annual review
- Annual management review
- Annual report

- Second, emergency considerations are an integral part of on-going programmes. Preventive and emergency response measures for health and nutrition, as with all programme activities, should be built into on-going capacity development initiatives.
- Third, all staff, sections and divisions are expected to be in readiness to be able to effectively contribute to an emergency response. This includes programme staff (e.g. health, nutrition, water, sanitation, education, protection, planning and M&E) and operations staff (e.g. administration, human resources, supply, IT/ telecommunications, finance, communications/media, resource mobilization and safety/security). Readiness is only likely to be obtained if the Representative, Senior Programme Officer and Operations Officer provide active support and leadership.
- **The Plan.** The goal is planning, not production of a document. Still, offices should develop a preparedness and response "plan" (EPRP) and keep it updated. EPRPs are most useful if conceived and used as a reference guide of expected operative procedures, or checklists in emergency situations. A standardized preparedness and response [planning framework and template](#) is available on the Intranet. Copies of all EPRPs are available from EMOPS.
- **Strategic Response.** Preparedness planning also helps the CO to identify potential strategic interventions, including how UNICEF can contribute to *prevent* a crisis, *mitigate* the effects of emergencies that cannot be prevented, and help in *rehabilitation and recovery*. Emergency office helps to *position* the office to make a strategic difference (e.g. part of peace negotiations), to address root causes of crisis situations, and to enhance national capacities.
- **Participation.** It is essential that preparedness planning is a participatory exercise. This also applies to periodic updating of the EPRP. Regional emergency advisors or EMOPS staff can help facilitate EPRP planning, if necessary. While facilitation is helpful, particularly the first time, the facilitators must not "write the plan", as this does not adequately prepare staff for their role.

Elements of Preparedness Planning

Commitment. Conviction must exist that our mission is to help children in crisis situations. Readiness requires vision, on-going analysis of children's circumstances and threats, and continual efforts to overcome obstacles.

Emergency Profiles and vulnerability/capacity analysis. Offices must identify and monitor potential threats to children and women, and have an idea of the likelihood of their occurrence and the type and scale of potential humanitarian consequences. The use of the "*Emergency Profile*" included in the [preparedness planning template](#) on the Intranet is recommended. The Emergency Profiles also help to provide regional and global overviews of potential emergencies. An in-depth vulnerability analysis helps to define underlying causes of potential crises, and to identify vulnerable children and women and local coping capacities on which to build (see [Vulnerability/Capacity Analysis](#)).

A logistics plan is a basic component of an EPRP. The supply/logistics assessment template (as annexed to [Book G, Supply Manual](#)) can be used in assessing logistics strengths and weaknesses of governments systems, UNIEF and other partners.

Standing Minimum Level of Readiness. To meet the [Core Commitments for Children in Emergencies](#), (CCCs), the office must establish and maintain a verifiable state of minimum readiness. This is not a compilation of planning figures. Staff are accountable to ensure that within their respective responsibilities readiness is maintained. COs should define and maintain their standing minimum level of readiness with regard to four parameters:

- Within how many hours or days after an incident will staff begin an on-site assessment?
- Within how many hours or days will the office be able to provide assistance?
- How many persons can the CO assist immediately, while additional goods and services are mobilized?
- For how many weeks can the office maintain the initial response, until additional goods and services arrive?

Example – Standing minimum level of readiness

An office may establish as objectives (a) to initiate an on-site assessment within 48 hours of an incident, (b) to maintain full readiness to aid at any time up to 10,000 children and women, (c) to be able to deliver initial assistance for this number within 72 hours, and (d) to have supplies and capacities to sustain that assistance for an initial period of 2 weeks while additional support can be mobilized.

- **Management arrangements.** Emergency preparedness planning clarifies internal management arrangements for the emergency response, such as:
 - o how decisions will be made
 - o internal arrangements for managing and coordinating UNICEF activities
 - o reporting and information sharing arrangements, and
 - o if applicable, how field staff will be managed.
 In many cases these arrangements may be those in existence, while in other cases modifications and adaptations are necessary. It is also helpful to clarify the internal early warning/ situation monitoring mechanisms, and how assessments will be undertaken.
- **Clarifying specific functions.** Key of preparedness planning is to clarify with all staff the roles and activities for which they will be responsible in an emergency. Function-by-function planning helps to raise staff awareness, identifies measures that will help them to fulfill their responsibilities effectively, and serves a checklist when the emergency arises.
- **Essential tasks.** These essential activities should always be covered by at least one unit:
 - determining the facts about affected children and women
 - developing plans of action
 - mobilizing action by others
 - negotiation access and compliance with humanitarian law
 - facilitating inter-agency coordination.
- **Operationalization.** To maintain actual readiness, EPRPs must be operationalized. At least five elements are critical:
 - a. ensure that actual capacity exists to meet the minimum standing level of readiness
 - b. ensure that necessary preparedness and capacity development activities are completed
 - c. ensure that proposed collaborative agreements are established
 - d. ensure that emergency related activities are integrated into on-going programme planning and implementation
 - e. ensure that supplies are propositioned and in-country logistics are in place
 - f. Ensure that the emergency plans are updated and rehearsed, even simulated.
- **Inter-agency collaboration.** Interagency emergency response starts with collaboration in preparedness. Inter-agency contingency plans enhance the preparedness of all agencies, but are not a substitute for the internal preparedness planning necessary by each agency.

The process of preparedness planning

Using the [preparedness-planning template](#), the following process should be followed:

Step 1: Mobilize the staff. In an all-staff meeting, the Representative reviews the Core Commitments for Children (CCCs) and clarifies UNICEF roles and objectives in emergency situations, including prevention and mitigation. Assess the extent to which emergency considerations have been integrated in ongoing programming processes so far. Set out a schedule of activities to complete the preparedness planning exercise.

Step 2: Develop/update a profile of potential emergencies. With the involvement of all international and national staff, the ["emergency profile" template](#) is used to identify potential emergencies over the next year or so. In highly uncertain situations the planning period is shorter (e.g. six months). In addition to previous vulnerability analyses, expert opinions and (local) personal knowledge is utilized.

Step 3: Establish/update the office's minimum standing readiness goals. Achieve consensus among staff on the 4 standard minimum level of readiness:

Within how many hours or days after an incident staff will begin an on-site assessment?

- Within how many hours or days will the office be able to provide assistance?
- How many persons can the CO assist immediately, while additional goods and services are mobilized?
- For how many weeks can the office maintain the initial response, until additional goods and services arrive?

Step 4: Establish/update plans for each key function. On not more than two pages, using the template, all staff define the overall and specific objectives for their function in an emergency; the planning assumptions; the activities that will be carried out; needed preparedness and capacity development measures; needed collaborative agreements; and required supplies, equipment and logistics. The individuals confirm agreement and acceptance of the requisite actions with their signatures on the form.

Step 5: Establish/update internal management arrangements. Review and update internal arrangements for managing and coordinating the office's emergency response, including delegation of authority and decision-making, reporting and information sharing and, if applicable, how field staff will be managed. Clarify early warning/ situation monitoring mechanisms, and how assessments will be undertaken. Review "first response" actions to be taken within the first hours, ensuring that contact addresses are correct.

Step 6: Summarize key action points. The preparedness planning exercise should result in:

- 1) a check-list of emergency actions to be taken at the time of a crisis, by function;
- 2) a list of the needed preparedness and capacity development activities, including collaborative arrangements;
- 3) a profile of additional staff requirements;
- 4) a list of essential supplies, available and needed transportation and warehousing.

Step 7: Review, discuss and finalize. The Representative approves the plan after review by the full team. Every section/function is also encouraged to have their specific portion of the plan reviewed by the corresponding regional advisor and HQ focal point in.

Step 8: Share the information. Work with partners and establish collaborative plans with government, other UN agencies, donors and NGOs.

Step 9: **Operationalize the plan.** Ensure that key preparedness actions are implemented (e.g. put in place buffer stocks, develop a funding plan, and establish partnership agreements). Include the identified preparedness and capacity development efforts in the annual management plan.

Step 10: **Review and Update.** The EPRP is updated as part of the annual management review (or more frequently in rapidly changing situations). The EPRP should also be reviewed after significant changes in staff, or at the beginning of annual storm/emergency-prone season. Revised plans should be copied to the RO and HQ/EMOPS NY and Geneva.

Section 11. Resource Mobilization in Unstable Situations and During Emergencies

This is an abbreviated version of the full guidance available on the [PFO Website](#).

Country Offices are primarily responsible for raising funds for their emergency programmes. There are three main ways in which a Country Office can finance its emergency operations, and these typically occur in sequential order: i) Reprogramming existing resources; 2) launching an appeal; and, 3) using an emergency grant or loan.

Funding for major emergency programmes not included in CPDs and CPAPs will usually be raised jointly with other UN agencies through a Consolidated Appeal Process (CAP) or a Flash Appeal. Where a CAP or Flash Appeal doesn't exist, the Executive Director can also appeal for contributions to UNICEF emergency operations, normally through a *Humanitarian Action Appeal*, which may be included in the annual Executive Director's Humanitarian Action Report.

1. Reprogramming of Available Resources and Application for Advances

Preceding the appeal process, several mechanisms are available to help access to immediate funding of UNICEF emergency programmes:

A. Diversions from Regular Resources that can be authorized by the Representative

- Where the Country Programme's annual RR allotment is \$2 million or more, the Representative is authorised to divert up to \$200,000 of supplies and funds from RR.
- Where the Country Programme's annual RR allotment is less than \$2 million, the Representative is authorised to divert up to \$150,000 of supplies and funds from RR.
- Any such diversion must be agreed with the Government.
- The diversion must be reported to the Regional Office and Headquarters, Directors of Emergency Operations (EMOPS) and Programme Division (PD).

B. Reprogramming of Regular Resources requiring approval

- The Regional Director has to approve reprogramming of RR over and above the ceilings set in Section A.
- Wherever possible, Representatives should obtain a Government request or approval for the reprogramming. Copies of requisite letters or records of meetings should be submitted to the Regional Director, Director of EMOPS and Director of PD.
- The requirement for Government agreement is waived if there are no recognized authorities with whom the Representative can negotiate.
- A submission for reprogramming should include:
 - A brief situation assessment, including the number of children and women affected, and the possible effects of in-action
 - A brief description of the Government response, coordination mechanism among UN agencies, donors and NGOs, and status of the Consolidated Appeal Process
 - An action plan indicating the objectives and specific inputs requiring funding

- The amounts to be re-programmed, by programme
- An assessment on how the reprogramming will affect the regular programme
- Any reallocations should be reported on in the Country Office Annual Report.

C. Reprogramming of Other Resources

Donors may agree to reprogramming of funds, especially if the interventions are similar to those for which funding was originally provided.

- Depending on where the contribution was negotiated, either the Representative, or PFO in the case of Government donors, or GRO in the case of National Committees, will seek the agreement of the donor.
- Any proposal for reprogramming requires the clearance of PFO or GRO and the approval by the donor's Headquarter, which PFO or GRO will seek to obtain.
- Any such diversion must be agreed with the Government.
- The Regional Director needs to be kept informed.
- Any reallocations reported on in the Country Office Annual Report.

D. Reprogramming of Available Emergency Funding

During prolonged emergencies, reprogramming of donor funding already obtained against CAPs or stand-alone appeals may be necessary.

- In addition to the agreement of the donor, any proposal for reprogramming requires the clearance of PFO or GRO;
- The Regional Director should be informed;
- Any reallocations should be reported in the Country Office Annual Report.

Refer to the [PFO Website](#) for full text, as well as additional tips for successful fundraising, a description of contribution types, and contribution management.

E. Emergency Programme Fund

Allocations from the UNICEF [Emergency Programme Fund \(EPF\)](#) are meant to meet interim needs until other funding becomes available. Allocations are expected to be fully committed and expended within the time frame specified in the proposal, in principle not more than 12 months or the end of the biennium, whichever comes first. The EPF is a loan facility, and therefore all allocations must be replenished by the Country Office.

The Country office must submit concise proposals to the Regional Director and EMOPS/Humanitarian Support Unit. The proposal should contain:

- a brief situation assessment, including the number of children and women affected, and the possible effects of in-action;
- a brief description of the Government response, coordination mechanism among UN agencies, donors and NGOs, and status of the Consolidated Appeal Process;
- a description of UNICEF actions taken, including amounts of RR that have been reprogrammed;

- a plan of action, based on UNICEF’s Core Commitments for Children in Emergencies (CCCs), indicating planned results and the specific inputs for which funding is being sought; and
- details on the likelihood of funding to replenish the EPF loan.

The request for EPF loan must be reviewed and *endorsed* by the RO and submitted to HQ for approval. The receipt and use of EPF allocation should be reported on in the CO Annual Report.

F. UN Central Emergency Response Fund (CERF)

The Central Response Emergency Fund (CERF) is a stand-by fund established by the United Nations to enable more timely and reliable humanitarian assistance to victims of natural disasters and armed conflicts. Originally a loan facility, the expanded CERF, which includes both a loan and a grant facility, was approved by consensus by the United Nations General Assembly in 2005 (resolution [A/RES/60/124](#)) to achieve the following objectives:

- promote early action and response to reduce loss of life;
- enhance response to time-critical requirements;
- strengthen core elements of humanitarian response in under-funded crises

The CERF will have up to US \$500 million, including a grant facility of up to US \$450 million and a loan facility of US \$50 million. The CERF is intended to complement existing humanitarian funding mechanisms such as the UN Consolidated Appeals. The CERF provides seed funds to jump-start critical operations and fund life-saving programmes not yet covered by other donors.

Further information, including application guidance and materials can be found at <http://.cerf.un.org>.

CERF Loan Facility

CERF loans need to be fully repaid through incoming contributions to the CAP or Flash Appeal. Requests for advances from the CERF are usually for US\$ 1 million or more. The processing and approval of a request takes several weeks.

- Country Offices must submit a proposal for CERF allocations to the Directors of PD, EMOPS and PFO. The format is the same as for EPF.
- Offices should describe the potential for raising funds for repayment.
- Director of EMOPS clears for on-forwarding to the Executive Director.
- The Executive Director submits the formal request for an advance from the CERF to OCHA.
- The use of CERF allocations should be reported on in the Country Office Annual Report.

CERF Grant Facility

Two-thirds of the CERF will be utilized to address core emergency humanitarian needs in sudden onset disasters (or rapid deterioration within existing crises). Where appropriate, it is possible to apply for a grant as well as a loan, in combination.

Rapid Response

Because the CERF is meant to complement, and not substitute for, existing fundraising mechanisms, it is normally expected that an inter-agency appeal must be in process before a rapid response request can be entertained.

All project applications to the CERF must be based on needs assessment(s) and must be approved by the HC/RC in consultation with the Country Team. Proposal formats can be found at the CERF website, at <http://.cerf.un.org>.

- Country Offices must submit draft CERF proposals to EMOPS and the Regional Office for clearance prior to submitting to the HC/RC.
- Once cleared by Headquarters and the Regional Office, CERF proposals are submitted at country level to the HC/RC. The HC/RC will then forward on to OCHA on behalf of the UNCT.
- Normally, requests from the Country Team for rapid response funds are made up of proposals from several agencies. In exceptional circumstances a single agency may request rapid response funds; however the proposal is still submitted by the HC/RC.

Under-funded

Twice a year, the Emergency Relief Coordinator, in consultation with the IASC, will allocate CERF grant funds to a number of ‘under-funded emergencies’ whose appeals have registered the lowest levels of funding against overall requirements. In principle, these allocations will occur in January and July of each year.

- The Emergency Relief Coordinator will announce the countries eligible to apply for under-funded CERF grants, stipulating a maximum allocation amount per country.
- The HC/RC, in consultation with the Country Team, will review and prioritize humanitarian needs in the country, and on this basis will determine priority projects for funding. The total value of the projects submitted for funding cannot exceed the total amount allocated by the ERC.
- Where there is a CAP or Flash Appeal, projects proposals will be taken directly from the appeal and funding allocated against those projects. Thus, no additional project proposal is necessary.
- Where no inter-agency appeal is in place, agencies must submit project proposals similar to those for rapid response funds. In such cases:
 - Country Offices must submit draft CERF proposals to EMOPS and the Regional Office for clearance prior to submitting to the HC/RC.
 - Once cleared by Headquarters and the Regional Office, CERF proposals are submitted at country level to the HC/RC. The HC/RC will then forward on to OCHA on behalf of the UNCT.

2. *The Appeal Process*

For detailed information on the various types of emergency fundraising documents utilized by UNICEF, consult the “[Guidelines on Emergency Appeals](#)”, available on the intranet.

A. Immediate Needs documents (“Pitch documents”)

When UNICEF's response to an emergency will require funding in excess of what can be reprogrammed, a brief 'Immediate Needs' document should be issued within 24–72 hours of the crisis.

- The document should indicate how UNICEF is coordinating with partners and government counterparts to assess and respond to the crisis.
- It should also state clearly that the request is for immediate needs only, is subject to revision as the crisis evolves, and will in due course be superseded by a more detailed appeal document.
- If an inter-agency appeal is already planned, the Immediate Needs document should make reference to this, indicating that the initial request will be superseded by UNICEF's contribution to the inter-agency appeal once the latter has been launched. If an inter-agency appeal is not yet planned, or if it may not materialize, the Immediate Needs document should simply indicate that a more detailed appeal will follow.

B. Crisis Appeals

As noted above, the 'Immediate Needs' document is intended as an interim measure pending the preparation of a more detailed appeal document. In most cases, UNICEF will participate in an inter-agency appeal. In some cases, however, the needs of children and women may necessitate an emergency response that cannot wait for the finalization of an inter-agency appeal, and in rare instances an inter-agency appeal may not be contemplated at all. In either scenario, UNICEF may launch a stand-alone Crisis Appeal. (Note, however, that OCHA must be informed.)

C. The Consolidated Appeal Process (CAP)

Preparation of a consolidated inter-agency appeal is governed by guidelines issued by OCHA. Programme Division/EMOPS issue additional technical guidelines for Country Offices participating in the CAP. (See www.humanitarianappeal.net)

- The CAP is an opportunity to review and clarify the roles of all humanitarian actors, and assign specific responsibilities to them. It is also an opportunity for all humanitarian actors to participate in joint strategic planning to produce a Common Humanitarian Action Plan (CHAP), which forms the foundation of the CAP.
- The Regional Director approves programmes and projects for inclusion into the CAP. Country Offices shall simultaneously transmit their submissions to PD, EMOPS and PFO.
- Country Offices should ensure that children's and women's rights and priority needs, and the Core Commitments for Children are adequately reflected in the CAP.
- CAP funding and utilisation should be reported on in the Country Office Annual Report.

D. Flash Appeals

Flash appeals are similar to CAPs, except they do not necessarily adhere to annual CAP cycles. A Flash appeal, as the name implies, may be released at any time throughout the year, whenever a disaster strikes. Flash Appeals are normally issued within 1-2 weeks of the onset of a disaster. Country Offices should use their Immediate Needs documents, which will have been issued within the first 24-72 hours, as a basis for their contributions to inter-agency Flash Appeals.

- The Regional Director approves programmes and projects for inclusion into the Flash Appeal. Country Offices shall simultaneously transmit their submissions to PD, EMOPS and PFO.
- Country Offices should ensure that children's and women's rights and priority needs, and the Core Commitments for Children are adequately reflected in the Flash Appeal.
- Flash appeal funding and utilization should be reported in the Country Office Annual Report.

E. Transitional and Early Recovery Appeals

The current guidance on the Transitional Appeal Process, issued by the UNDG/ECHA Working Group on Transition Issues, identifies a set of benchmarks for use by UNCTs to determine if the country is ready for a Transitional Appeal Process, including:

- the Government agrees to work on a transition process;
- major donors accept the need for, and are willing to support transitional programmes;
- the situation is conducive, including politically, to the return and reintegration of refugee and internally displaced populations, as appropriate;
- the Government has the capacity or is being supported to build its capacity to work in partnership with the UN on transitional planning, coordination and programme implementation;
- support is available, or can be quickly obtained, in the RC/HC's office to coordinate planning for the transition;
- coordination and funding mechanisms are in place or can be adapted quickly to plan and implement a transition programme

The Interim Guidance is currently being revised and an updated version is expected to be ready early 2007.

The Transitional Appeal planning process should be broadly inclusive, considering the views of the local population, national and sub-national governments, NGOs and international stakeholders. The Transitional Appeal's primary focus is on early recovery interventions, including rehabilitation of basic social services, shelter, livelihoods, protection, basic infrastructure, displacement and return and priority local and national capacity building needs. In post-conflict situations additional areas of focus usually include security and Rule of Law, Disarmament, Demobilisation and Rehabilitation and, where relevant, mine action. The Transitional Appeal should link medium and longer term strategies to other national and international planning instruments where such exist, including a (bridging) UNDAF, a PRS or (I)PRSP, or a Peace Consolidation Strategy. A Transition Appeal may or may not include humanitarian, i.e. life saving, needs, depending if other mechanisms to cover such needs (CHAP/CAP, Flash Appeal, CERF, HAR, etc) are in place. Where this is the case, considerable care must be taken to prevent overlap or mutual exclusion of needs and funding requirements. In order to avoid unnecessary confusion, it is advised that wherever possible, humanitarian appeal instruments should be limited to humanitarian needs only, with proposed early recovery and transition types of interventions being covered through a separately issued programmatic results framework, appeal and funding mechanism.

A Transition Appeal may be initiated following a ‘Post-Crisis’ or ‘Joint’ Needs Assessment (PCNA/JAM), to cover the initial, usually 1-2 year, funding requirements of the transition period. Alternatively, a Transition Appeal may be initiated either in the absence of a PCNA/JAM based on aforementioned benchmarks, or to cover the anticipated intervening period between the start of a PCNA/JAM and the moment when the assessments have been completed and subsequent transition implementation and financing mechanisms are fully operational.

Early Recovery Appeals are very similar in nature to a Transition Appeal, but more limited in scope and time. Main differences between an Early Recovery and a Transition Appeal are illustrated below:

Early Recovery Appeal	Transition Appeal
covers a period of up to six months maximum	usually covers a period of 1-2 years
excludes humanitarian needs	may include humanitarian needs
a Government document	a UN document
combines early recovery funding needs for government and the international community	covers funding needs for the UN or international community only

What the Early Recovery and Transition Appeals have in common are the sectors included, the objective to effectively bridge relief to development, the strong emphasis on national capacity development as a pre-requisite for increased absorption capacity and longer term development, and the linkages to other medium and longer term national development plans. It is anticipated that the Early Recovery Appeal process will increasingly become the standard funding mechanism for the initial phase of a transition period.

F. Multi-Donor Trust Funds

In the broader context of aid effectiveness, [Multi-Donor Trust Funds](#) (MDTFs) are an important model for structuring financing mechanisms, embodying pooled funding, joint programming, alignment to government priorities and issues around predictability and flexibility of resources.

Particular to the context of resource mobilisation, the MDTF is defined as a country-specific financing mechanism which receives contributions from more than one donor which are then pooled and disbursed by an Administrator to a number of recipients (Government, UN, NGOs) depending on governance and purpose. MDTFs have equal potential for both post-conflict and post-natural disaster situations.

MDTFs in post-crisis situations aim to support nationally defined recovery and reconstruction priorities and to develop national capacity. They are designed to enable funding to flow quickly, coherently and under a multilateral umbrella in order to meet the special needs of post-crisis transition situations. MDTFs can be structured in a variety of ways, with different fiduciary, administrative, management, oversight or decision-making responsibilities being assigned to different stakeholders. The latter usually include Government, World Bank, UN, bilateral donors and, sometimes, civil society representatives, NGOs or regional financial institutions.

The comparative advantages of both the World Bank and the UNDG should be fully utilised, while recognizing that agencies need to be able to continue to receive funds directly. It is important in this context to stress the UN and UNICEF's ability to capitalize on their consistent presence on the ground and their flexible implementation arrangements to offer guidance to national counterparts while meeting the needs of the population in a timely way.

It is desirable for MDTFs to come into operation as soon as possible, once a peace agreement has been reached, or once the relief effort, in the event of a natural disaster, begins to come to a close. Preparation for the MDTF, and UN engagement in financing discussions, needs to therefore start during peace negotiations or in the immediate aftermath of the crisis, when financing issues are on the agenda.

In 2006, the UNDG/ECHA Working Group on Transition concluded a commissioned review of Multi-donor Trust Funds, to determine the extent to which they provide an adequate mechanism to support post-crisis recovery and reconstruction efforts, and to make recommendations on how UNDG can increase member capacity to effectively leverage and participate, as members or recipients, in Multi-Donor Trust Funds. A UNDG MDTF oversight mechanism is being established at headquarters to offer guidance to UNDG-administered Trust Funds at the country level and work further to harmonize and streamline related practices. Additional guidance is under preparation at UNICEF HQ to support participation in funding through MDTFs.

Section 12. Coordination Requirements in Complex Emergencies

In addition to regular procedures, UNICEF is committed to fully support and use the following coordination mechanisms in complex emergency situations:

Coordination at the global level:

The Office for the Coordination of Humanitarian Affairs (OCHA) is a branch of the UN Secretariat, created specifically to improve coordination between UN Agencies and other organizations in areas affected by humanitarian crises. OCHA is normally not present in stable countries and intervenes only at the onset of a crisis requiring the joint effort of several UN agencies. The Emergency Relief Coordinator is the head of OCHA, reports to the Secretary General and is responsible for the coordination of humanitarian assistance globally. A single secretariat in OCHA serves IASC and ECHA to ensure that discussions in the two committees are grounded in common understanding.

The Executive Committee on Humanitarian Affairs (ECHA) was created by the Secretary-General to enhance coordination among UN agencies. ECHA is chaired by the emergency relief coordinator, and meets on a monthly basis in New York. Its membership consists of the principals of UNICEF, UNDP, WFP, the Department of Political Affairs and the Department of Peacekeeping Operations.

The Inter-Agency Standing Committee (IASC) is a forum for coordination, policy development and decision-making of key UN and non-UN humanitarian partners. Also under the leadership of the emergency relief coordinator, IASC develops humanitarian policies, agrees on a clear division of responsibility for the various aspects of humanitarian response, identifies and addresses gaps in response, and advocates for effective application of humanitarian principles. IASC includes full members (UNICEF, UNDP, FAO, WFP, WHO, UNFPA, UNHCR and OCHA) and Standing Invitees (ICRC, IFRC, the International Organization for Migration, the Steering Committee for Humanitarian Response, InterAction, the International Council of Voluntary Agencies, the Office of the Special Representative of the Secretary General on Internally Displaced Person, the Office of the High Commissioner for Human Rights and the World Bank).

The inter-agency UNDG/ECHA Working Group on Transition Issues was established in 2002 to respond to two policy directives issued by the Economic and Social Council (ECOSOC) and the Secretary General. The first called on the UN System to “address the funding and strategic planning gap between relief and development activities in the context of natural disasters and complex emergencies”, and the second to develop “an implementation plan to strengthen the effectiveness of the UN’s presence in developing ...such features as ... integrated planning, budgeting and resource mobilization tools for countries emerging from conflict”. The Working Group act as a forum for coordination, information sharing, back-stopping support to UNCT’s and development of policy and operational guidance on post-crisis transition related issues. Dedicated task forces are established for individual countries which are undergoing particular complex, politically significant or time-intensive transition processes.

Integrated Missions aim to achieve greater coherence in the UN's peace-keeping and peace-building interventions. Integrated crisis management systems should more effectively restore peace, security and good governance in failed and failing states, and build upon the skills and competencies of each part of the UN system. In crisis countries with large multi-disciplinary field operations, Integrated Missions help ensure that efforts of the different components of the UN System are mutually reinforcing. Integrated Missions should also improve UN support to National Transition Strategies. The Secretary-General has developed guidance on Integrated Missions (17 January 2006) and on the Integrated Missions Planning Process.

Coordination with other agencies, including:

Office of the High Commissioner for Human Rights (OHCHR): OHCHR often provides information for the monitoring and reporting of child rights violations in conflict situations, and participates in protection and advocacy activities.

UN Population Fund (UNFPA): Areas of involvement include family planning, safe pregnancy and childbirth, and the prevention of sexually transmitted diseases including HIV/AIDS. In emergencies, UNFPA may take the lead in funding supplies and services for reproductive health.

UN High Commissioner for Refugees (UNHCR): UNICEF and [UNHCR](#) have signed a [Memorandum of Understanding](#) that is being revised at the moment, which applies to refugee situations. Upon request from the Secretary-General, UNHCR may also assist and help to protect internally displaced persons, although this is on an exceptional basis. UNHCR is also dealing with IDP protection issues when the Cluster Leadership Approach is being activated and only if the displacement is conflict generated. UNICEF has a strategic role in reintegration of returning refugees and post conflict situations, particularly in community development aspects, and in the management of IDP groups.

World Health Organization (WHO): In emergencies, WHO is a strategic partner particularly for immunization services and the control of communicable illnesses.

World Food Program (WFP): [WFP](#) provides food aid for the most vulnerable people and promotes the self-reliance people and communities who are poor. A [Memorandum of Understanding](#) between WFP and UNICEF delineates responsibility in supporting children's and mothers' nutritional needs. UNICEF collaborates with WFP in logistics and telecommunications arrangements.

International Committee of the Red Cross (ICRC): The ICRC protects and assists the civilian and military victims of armed conflicts and internal disturbances on a strictly neutral and impartial basis. [CF/EXD/1999-05](#) describes strategies for collaboration in situations of war with the ICRC. Areas of collaboration are with child soldiers, separated children and tracing, and water, health and nutrition programmes for civilians. Training in humanitarian principles and issues pertaining to neutrality, impartiality and codes of conduct in war are also important areas of cooperation.

International Federation of Red Cross and Red Crescent Societies (IFRC): The IFRC is the world's largest humanitarian organization. Its work focuses on four core areas: promoting

humanitarian principles and values, disaster response, disaster preparedness, and health and community care. IFRC often partners with others in acute natural disasters.

NGOs: Working relationships have also been formed with many NGOs partners (e.g. Oxfam and UNICEF often work together on emergency water and environmental sanitation programmes; Handicap International is a close partner of UNICEF in the area of mine-risk education)

Coordination within UNICEF:

EMOPS (Office of Emergency Programmes)

EMOPS leads efforts to ensure that UNICEF's role in complex emergencies and natural disasters is well defined, that the organisation is properly equipped to fulfil that role, and that all levels of the organization are prepared and deliver our mandate. EMOPS support aims to strengthen the ability of the organization to respond during times of humanitarian crisis. EMOPS is the institutional focal point for emergency preparedness and assistance, humanitarian policies, staff security and support to UNICEF offices in acute emergencies, as well as strategic co-ordination with external humanitarian partners both within and outside the United Nations system. EMOPS is also the focal point for the development and management of the organization's Early Warning and Early Action system. EMOPS reports to the Office of the Executive Director, and co-ordinates its work closely with country and regional offices, as well as HQ Divisions, especially with Programme Division and the Division of Policy and Planning.

The Office of the Director of EMOPS

Supports overall coordination of emergency programmes ensuring complementarity of interventions within UNICEF overall programme policies, advocacy role, resource mobilization and public information work; advises the Executive Director on policy and strategy matters and supports her in mobilizing UNICEF corporate response for complex emergencies; liaises with OCHA and the Inter-Agency Standing Committee on Emergencies as well as ECPS. The Director is also currently the Co-Chair of the UN Framework Team on Conflict Prevention and is a member of SSR and GMT

Operations Centre (OPSCEN):

The Operations Centre (OPSCEN) is a 24-hour, 7 days-a-week information gathering and dissemination hub. The centre monitors humanitarian crises, political events and security-related incidents around the world, with a view to ensuring the safety of staff, and providing both field offices and senior decision-makers with critical information related to humanitarian emergencies. State-of-the-art telecommunications capabilities permit OPSCEN staff to facilitate relevant coordination and to expedite the delivery of time-sensitive information. Through daily and weekly briefs, information summaries, and "spot" reports. The OPSCEN also provides a first point of contact for staff in the event of an emergency of any type, providing immediate assistance, information and follow-up as necessary.

Humanitarian Support Unit (HSU): Coordinate headquarters support to country and regional offices dealing with acute emergencies. HSU is the hub for Representatives, regional emergency

staff and other field staff in need of assistance from headquarters in terms of staffing, funding, donor relations, inter-agency issues or technical guidance, and liaises closely with relevant colleagues in PD and PFO. HSU works closely with all Divisions of headquarters to ensure country and regional offices receive timely, predictable and effective support to respond to emergencies.

Emergency Response Team (ERT): provide in-country emergency technical assistance when the Regional Office team is unable to directly assist an office or where the deployment is for an extended duration. The ERT members support Country Offices by assisting them in preparing for or responding to emergency situations. The team includes two emergency coordinators, one expert in telecommunications/IT, one expert in human resources, one expert in supply/logistics and one expert in Operations. The Office of the Director of EMOPS can deploy members of the team upon identified needs in country offices.

EMOPS Geneva: The head of the Geneva Office is a Deputy Director of EMOPS. The EMOPS Office in Geneva is the focal point for inter-agency collaboration and for development of strategic partnerships with partner agencies. EMOPS Geneva works to further strengthen both inter-agency and bilateral collaboration and coordination with UNHCR, WFP, WHO, ICRC, IOM, IFRC and OCHA in particular in order to clarify roles and responsibilities between the different organizations. EMOPS Geneva also focuses on maintaining solid relations with Geneva-based permanent missions and produces periodic donor updates on UNICEF humanitarian action.

Humanitarian Policy and Advocacy Unit (HPAU): strengthen UNICEF's humanitarian response through the development and dissemination of policies and guidance which inform UNICEF's programmatic response. The HPAU supports UNICEF advocacy on issues pertaining to women and children in crisis situations in different humanitarian policy and advocacy fora. It provides leadership in new emerging policy issues, for example humanitarian reform, the cluster approach, a mechanism for monitoring and reporting of violations against children, civil-military engagement, rights-based approach to programming in emergencies, negotiations with Non State Entities, etc.

Landmines and Small Arms Team: supports the elaboration and development of policy related to the protection of women and children from the affects of landmines, small arms and weapons that have indiscriminate effects. The team provides programme guidance and develops risk education and monitoring tools for UNICEF and other agencies, in the framework of the inter-agency response to landmines and small arms threat. The team provides desk and direct technical support to country and regional offices and programme partners.

Office of the UNICEF Security Coordinator:

The overall goal of security support within EMOPS is to ensure the safety and security of UNICEF staff and their dependants, and of organizational assets, to facilitate the delivery of the UNICEF mandate. The team works closely with the Department of Safety and Security (DSS) and the UN Security Management System as a whole. The team provides direct assistance to field offices from both HQ and through field assessments and missions.

Safety & Security and OPSCEN units work in collaboration with other EMOPS units and through their inter-agency links and networks to ensure that issues pertaining to children and women in

emergency situations are highlighted. They work to support a consistent UNICEF response in emergencies based on the commitments laid out in the CCCs. And they endeavour to ensure the safety and security of staff and assets as a high priority during the delivery of the UNICEF mandate.

Early Warning & Preparedness Section:

The Early Warning & Preparedness Section strives to build capacities and support UNICEF's global early warning, preparedness and contingency planning efforts at all levels of the organization, particularly at the regional and country levels. In addition to collaborating with other agencies, the unit works closely with units within EMOPS, particularly the HSU, the ERT, and OPSCEN. The section supports the ongoing development of UNICEF's early warning system, the enhancement and introduction of preparedness tools (such as new preparedness, simulation and training tools), and the operationalization of preparedness plans at CO, RO and HQ levels.

Inter-Agency Collaboration and Liaison

The inter-agency collaboration and liaison unit monitors humanitarian issues under discussion, represents UNICEF and advocates for children's issues in inter-agency fora. It participates in coordination activities, and communicates current policy, programme and situational issues to regional, country and HQ staff. Working closely with HPAU, this unit acts as a dynamic liaison function in contributing to, and providing feedback on, policy and programme discussions on humanitarian issues with key partners.

Programme Division

As of January 2006, a new Post-Crisis Transition Unit (TU) has been established within the Regional and Inter-Agency Affairs Section in Programme Division. The TU will lead and coordinate UNICEF efforts to ensure that UNICEF's role in post-crisis transition situations is well defined, that the organisation is properly equipped to fulfil that role, and does so in close collaboration with relevant partners. The initial focus of the TU is geared towards the implementation of UNICEF's new post-crisis transition strategy paper that was submitted and approved by UNICEF's Executive Board in June 2006. In doing so, the TU will work closely together with CO's and RO's, as well as relevant HQ Divisions, especially EMOPS, PD technical sections and the Division of Policy and Planning. The TU also acts as the institutional focal point for strategic co-ordination with external partners on post-crisis transition issues, both within and outside the UN system. Additional investments are foreseen, particular at the regional and country level, to further strengthen UNICEF's internal capacity in support of the roll-out of its post-crisis transition agenda. This may lead to the delegation of certain responsibilities and tasks presently performed by the TU to the regional and country offices.

Section 13. Checklist for Field Trips

A. Preparing and Monitoring the travel schedule:

- Does the AMP describe the standards for the frequency of field visits, as agreed by the CMT? (E.g. 5 days per months for each staff; each relevant project twice a year?)
- Do the standards prescribe that any internal travel for advocacy purposes or workshop attendance should, as far as possible, also have an element of monitoring activities and progress?
- Is the travel schedule, with approximate dates and destination, included in the AMP, and updated regularly by travel/personnel section?
- Are planned field trips notified to other interested staff, including in other UN agencies, so they have an opportunity to ask the traveler to also visit sites or meet people relevant to their areas?
- Are travel plans, and the actual frequency of travel by staff reviewed by the CMT?

B. To prepare for the field visit, the programme officer – in conjunction with partners also going on the visit - should:

- Review the objectives, planned results and strategies described in the CPAP;
- Review the relevant portion of the AWP, including timetable;
- Review related available progress reports and records of meetings and discussions, including of the latest UNDAF Annual Review;
- Review expenditure status for this activity, the most recent financial reports (e.g. FACE), and check whether progress or financial reports from programme partners are overdue;
- Review any relevant agreements (for instance with NGOs);
- Review the indicators describing the quality or quantity of the activity under review (e.g. the learning objectives of a training session; the number of people supposed to be involved; the agreed design of the water point or latrine; the type of records of the activity expected to be held by the local authority; the expected operating hours of the health or day-care facility);
- Review distribution lists, proof of delivery, and prepare supply evaluation forms as required;
- Obtain titles and names, and review the list of people to be met;
- Prepare, or review the proposed agenda for meetings, and key questions to be answered;
- Have appointments for meetings confirmed;
- Ensure that an interpreter is available, if necessary;
- Check with other sections/programmes whether information can be obtained for their purposes, too.

C. During the field visit, the programme officer and other partners on the visit should:

- See the supported activity in action (e.g. staff should not only discuss with officials the supported training programme, but observe part of the session);
- Assess whether the most vulnerable or least privileged groups have an opportunity to participate or benefit from the activity or project;
- Obtain a view from a balanced number of women and men, or girls and boys;
- Obtain the views of the intended users of the service, facility, or programme (e.g. children, young people, mothers of children, women). If possible, meet people in their own environment, to also obtain the views of those who choose not to use the service or participate in the programme;
- Obtain the views of the service providers, or implementers of the programme (e.g. teacher, health worker, social worker, peer educator, NGO member, workshop facilitator, members of the local self-help group);
- Obtain the views of the managers of the activity, programme or service (e.g. school principal, chair of the local committee, head of the local NGO, accountant dealing with project resources);
- Obtain the views of authorities charged with oversight (e.g. District health Officer, School Inspection Unit, Regional Water Authority);

- Obtain the views of local groups and authorities (e.g. chiefs, headmen, religious leader, local authority, town clerk);
- Review locally generated and kept statistical records (e.g. gender-disaggregated results of school examination, incidence of certain diseases, maintenance records of the local water system);
- Review activity or project records (including financial books for the receipt and disbursement of UNICEF-provided funds, participant lists, inventories, stock turnover);
- Check on the use of project supplies (e.g. supplies kept in store, distribution records, evidence within households of supplies or other essential commodities related to the project).

D. Report and follow up by the programme officer:

- Prepare a trip report, focusing on the findings, agreements and recommendations, with action points for follow up;
- Share the report with CMT members and relevant colleagues;
- Share the relevant parts of the report with programme partners;
- Meet with Government/NGO/UN partners to review and address recommendations, as appropriate;
- Write a letter to thank all those who spent time with the UNICEF visitor for their insights;
- File the report in programme/project documentation for possible use in annual reviews, annual reports, donor reports, or other documentation. Also record in ProMS, as appropriate.

E. To avoid bias and misleading investigations, it is recommended, inter alia, to:

- avoid urban, tarmac and roadside bias by going further afield;
- avoid project bias by also visiting non-project areas and including non-scheduled stops;
- seek out poorer people, women, people who are sick at home and not at the clinic;
- escape the limitations of professional conditioning by being observant and asking open-ended questions;
- spend more time to hear people who are poor, and who are often the last to speak;
- move less fast and consider spending the night;
- behave unobtrusively, and avoid giving an impression of having influence over the benefits which a community might receive.

The pitfalls of “development tourism” are vividly described by Robert Chambers in: *Rural Development – Putting the Last First, Harlow, UK: Longmanns, 1983.*

F. Steps for Monitoring of AWP Activities

To support the country office in meeting its standards for monitoring the quality and level of implementation and achievement of results, the following field trip monitoring form is suggested. It may be modified to suit the country office and programme context. The following steps should be taken (before, during and after making field trips) in order to maximize the benefits of field trips:

- Establish the AWP activities to be monitored (print copies from the ProMS Outline Screen);
- Determine other related aspects to be monitored such as quality or relevance of supplies delivered, services, use of equipment, spot checks of financial records etc. and obtain the necessary background information;
- Identify the monitoring team (UNICEF and partners);
- Assign roles and responsibilities to the team members;

- Draw up the itinerary ;
- Using the Field Trip Monitoring Form, agree with the relevant Programme Officer on the planned results to be monitored. This should be filled out and endorsed in Part II of the form;
- Print out a copy of the relevant AWP or Project Cooperation Agreement and attach it to the Field Trip Monitoring Sheet;
- Visit the sites and use Part II of the form to collect data/information; and
- Analyze data, draft report and present recommendations to the Programme Management Team and feedback (on the decisions taken) to the implementing partner.

G. Suggested Field Trip Monitoring Format

PART I: FIELD TRIP MONITORING FORM	
UNICEF (Name of Country Office)	
Name of UNICEF Team Leader:_(Traveler)	
Title:	
Section:	
Names & Titles of Other Persons accompanying you (UNICEF and Non UNICEF):	
1.	
Title:	
2.	
Title:	
3.	
Title & Ministry or Organization:	
Travel Date: From:..... To.....	
Project Places/Sites visited:	

Note: Attach the relevant portions of the Annual Work Plans and the implementation timetable for the activity/activities being monitored for reference purposes – especially on the objectives and expected results. Complete separate forms for each AWP.

PART II: FORMAT FOR COLLECTION OF FIELD TRIP DATA			
AWP Description and Code: List the relevant Annual Work Plan Results to be monitored (indicate the Targets and target dates corresponding to the resource transfers made, Project Cooperation Agreement signed)		Example: AWP CODE: e.g. YH/01 List of Activity (planned) Results: e.g. YH/01/001 300 Birth Registration Agents trained in Point District by July 2006	
	<i>Numbers 1 through 6 are to be filled by traveller and endorsed by supervisor before departure</i>		Follow Up Actions By CMT or Programme Team (This column is to be completed by the team/committee reviewing the trip report)
1.	Previous recommendations of the relevant project team (incl. Inter Agency Theme Group, Country Management Team), and programme review meetings regarding the progress in achievement of results		Follow-up Actions to be taken: Responsible Person: By (Date):
2.	Refer to the CAG or FACE status and partner Project Cooperation Agreement and comment on the expenditure status of the activities to be monitored – amount already disbursed to the partner (s) and for what results?		Follow-up Actions taken: Responsible Person: By ((Date):

PART II: FORMAT FOR COLLECTION OF FIELD TRIP DATA		
AWP Description and Code: List the relevant Annual Work Plan Results to be monitored (indicate the Targets and target dates corresponding to the resource transfers made, Project Cooperation Agreement signed)		Example: AWP CODE: e.g. YH/01 List of Activity (planned) Results: e.g. YH/01/001 300 Birth Registration Agents trained in Point District by July 2006
	<i>Numbers 1 through 6 are to be filled by traveller and endorsed by supervisor before departure</i>	Follow Up Actions By CMT or Programme Team (This column is to be completed by the team/committee reviewing the trip report)
3.	Titles and names and location of the relevant people to be met	Follow-up Actions taken: Responsible Person: By (Date):
4.	Other monitoring aspects in the same travel location/area requested for by other Sections (including Supply) in the Office	Follow-up Actions taken: Responsible Person: By ((Date):
5.	List any items delivered to project site, including supplies	Follow-up Actions taken: Responsible Person: By ((Date):
6.	Plans and itinerary for the monitoring trip reviewed, discussed and endorsed by:→	Team Leader: Name:..... Title: Signed:Date:.....
7.	State Progress made towards achievement of Planned Results as described in (1) above.	Follow-up Actions taken: Responsible Person: By ((Date):
8.	Specific comments on overall utilization of resources provided to the partner vis-à-vis results achieved	Follow-up Actions taken: Responsible Person: By ((Date):
9.	Views of the implementing partners and managers on factors affecting achievement and quality of results	Follow-up Actions taken: Responsible Person: By ((Date):
10	Views of community members on factors affecting achievement and quality of results	Follow-up Actions taken: Responsible Person: By ((Date):
11	Views of children on factors affecting achievement and quality of results	Follow-up Actions taken: Responsible Person: By ((Date):
12	A summary of the use of project supplies (e.g. supplies kept in store, distribution records, evidence within households of supplies or other essential commodities related to the project).	Follow-up Actions taken: Responsible Person: By ((Date):
13	How any significant changes (government policy/ regulations/ laws/ social disorder/extra-ordinary events) might impact on project implementation (Analysis of the situation)	Follow-up Actions taken: Responsible Person: By ((Date):
14	List of management issues brought to the attention of the Programme Officer and Country Management Team	Follow-up Actions taken: Responsible Person: By ((Date):
15	Next Scheduled Monitoring Visit	

Section 14. Self-Assessment Guideline - Key Elements of Effective Programme Management

Purpose of This Guideline: Basic Programme Management Controls provide a supportive management framework for the effective planning, implementation, assessment and reporting of the programmes, projects and activities within a UNICEF Programme of Cooperation.

This self assessment guide can assist UNICEF staff to quickly review key aspects of a country office's programme management practices. It helps to identify significant uncontrolled risks, presents a number of positive management practices that should exist in a well-run UNICEF office, and makes suggestions for how the existence of these positive practices can be tested.

It is intended that the guideline can be implemented in two-three days by a small team from within the office, and for a larger group--such as the CMT--to review the findings and develop recommendations to further strengthen office performance.

Background and overview: The guideline is designed to review UNICEF's overall practices at the level of the country programme. It is based on materials used by the Office of Internal Audit during audits of country offices and follows an analytical framework that OIA uses in all of its audits. The framework places particular emphasis on Office's clarity in defining objectives for the actions they take, ensuring that staff are adequately briefed on their responsibilities and have the skills to implement them, and the practices of the Representative to maintain awareness of the key aspects of programme management.

In 2002, OIA issued an audit report on the [basic programme management controls in country offices](#) that was based on the findings from 33 country audits conducted in 2000-2002, an analysis of UNICEF guidance, staff skill development activities (such as PPP training), and HQs and ROs support and supervision activities. The report profiled the overall state of basic programme management practices across UNICEF at that time and country offices may find it useful to review the report and assess their own practices against the global profile of country office strengths and weaknesses.

The present guidelines highlight a few key management areas that have proven to be effective in advancing a UNICEF's role in a programme of cooperation during the course of a single year. Offices that choose to undertake a more complete assessment of country programme-level issues over the full period of the country programme may want to review the [Country Level Programme Audit Tool](#) that was included in the 2000 edition of the PPP Manual. A 1999 synthesis of country programme-level issues from a number of programme audits can be found on the intranet at "www.intranet.unicef.org/Document Repository/Programme/Summary of Programme Audit Issues".

Overall Objective of Basic Programme Management Controls: To provide a supportive management framework for the effective planning, implementation, assessment, and reporting of the programmes, projects and activities within the UNICEF Programme of Cooperation.

Elements The success of one programme, project or activity depends on an almost limitless combination of factors related to UNICEF, the other implementing counterparts, the issues being addressed, and the national and local context of implementation. However, there are some common elements of effective programme management that contribute to maximising the potential for UNICEF to provide the effective level of support for all programmes within the country Programme. These common elements including the following six, plus one for offices operating within a UN development assistance framework:

1. Annual project objectives, annual plans of action and input planning
2. Programme implementation and office performance monitoring reports
3. Governance – The role of the CMT and use of the AMP in programme management
4. Programme monitoring and evaluation
5. Annual programme and office management performance reporting
6. Staff training in programme management and technical subjects
7. UNICEF programming within the context of the UN Development Assistance Framework

This self assessment guide provides a structured format for reviewing the status of these seven elements within a country office.

Note: Throughout this Self-Assessment Guide, the harmonized terminology has been used. In particular, the Country Programme Action Plan (CPAP) denotes what previously was known as Master Plan of Operations (MPO). Similarly, Annual Work Plans (AWPs) have replaced the formerly used Project Plans of Action (PPAs).

Essential Element 1	Annual Project Objectives, Annual Work Plans, and Input Planning	
Objective of this Element	To establish annual project objectives that provide clear direction for programme implementation through the year, Annual Work Plans that articulate the major activities and input requirements necessary to achieve the annual objectives, and adequate support from government and NGO counterparts.	
Potential Risks	<ul style="list-style-type: none"> • Failure to define clear results of UNICEF cooperation • Inconsistency between the AWP and the ProMS planning outline • Weak collaboration with counterparts to define AWP and secure endorsement • Limited financial support from partners leads to excess reliance on UNICEF • Weak internal processes to develop and/or finalize quality AWP • Bottlenecks due to poor distribution of input ordering. • Delayed/poor programme implementation due to lack of needed inputs. • Weak authorization process for adding/revising activities in AWP • Inadequate staff skills to create AWP—planned results, activities, define inputs/outputs • Weak AWP quality control review processes • Unreliable reports and information produced by the office using ProMS • Limited tool for monitoring programme implementation 	
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate	
<p>1. CONTROL The office establishes annual project results for each of the projects in the CPAP.</p>	<p>Establish that for each of the projects in the Country Programme Action Plan your office has clearly defined results of what will be achieved in the current year, and that the year's objectives are logically linked to the objectives in the CPAP.</p> <p>[Note: The results defined in the AWP should reflect a clear contribution to the 5-year result of the respective programme.]</p>	
<p>2. CONTROL There are technical review and management approval processes to assess draft annual project objectives before they are authorized and become the basis for the development of detailed AWP.</p> <p>[Note: "Objectives" should be described as "results" which describe a change (i.e. in the capacity of an institution, existence of a policy, or change in the lives of people). The RBM guide was revised and distributed in October 2005.]</p>	<p>Establish that there is a technical review of draft AWP for all projects to ensure that the annual results are SMART:</p> <p style="padding-left: 40px;">S pecifically defined M easurable by the project within the year A chievable by UNICEF & partners R ealistic to be achieved within the year T imebound to current year/or part of the year</p> <p>Assess the SMARTness of the annual project results and, if there are any instances of poorly stated objectives establish why they were authorized as stated.</p>	
<p>3. CONTROL The annual project results and work plans adequately incorporate relevant emergency preparedness and response activities.</p>	<p>Review your office's Emergency Preparedness and Response Plan and establish to what degree the major 'Agreed Preparedness Actions' it identifies are actually incorporated in the relevant AWP for the current year. [See: chapters 4 and 6/Section 11--Emergency Preparedness Tool.]</p>	
<p>4. CONTROL AWP are developed for each project and the content has the written endorsement of the programme partners.</p>	<p>Establish that there are authorized AWP for the current year for all projects.</p> <p>For each project: Review the comments made about the projects in last year's Annual Review and establish that the present year's AWP include attention to the actions for improvement noted in the Annual Review. [See the related control 6 in element 4]</p> <p>Establish that your office has shared the AWP with the implementing partners and has asked for and secured the written endorsement of the</p>	

	<p>partners for the content of the AWP through an exchange of letters and/or signature on the AWP. Where AWP have not (yet) been endorsed by counterparts, establish that the office had requested this endorsement in writing, and assess the efforts made by the office to secure endorsement.</p> <p>Establish the dates when partners' endorsements are received to determine if they are all secured within the first quarter of the year.</p>
<p>5. CONTROL Government counterparts are regularly supported to make adequate and timely budget submissions to their own administrations for input requirements agreed to in the CPAP to maximize the potential for securing budget allocations from partners.</p>	<p>If your office provides recurrent expenditure support to counterparts (i.e. salary support, per diem support, fuel, office running costs, etc.), establish that your office has made reasonable and sustained effort to ensure that operational-level partners are aware of their own budget development and submission requirements, and that the partners have provided timely and technically correct budget submissions to meet recurrent expenditures that are being met by the UNICEF office.</p>
<p>6. CONTROL The programme and administrative capacity of NGO counterparts is assessed and established to be adequate before the office enters into agreements that include the provision of programme funds.</p>	<p>If your office provides support to NGOs: establish that the office assessed the programme and administrative capacity of the NGOs (addressing the issues noted in ExDir 2005-008 before entering into the agreements.)</p>
<p>7. CONTROL There is a clearly defined process and practice for the authorization of AWP at the beginning of the year and for periodic changes through the year.</p>	<p>Review the functioning of the controls over plan authorization in your office to ensure that there is a clear assignment of responsibility, and that those with <i>plan authorization</i> control are aware of their responsibilities and how to implement them.</p> <p>Interview the staff in your office with plan authorization control responsibilities to establish</p> <ol style="list-style-type: none"> 1) what they look for in draft AWP before they authorize them at the beginning of the year--[See below for major issues they should be looking for], and 2) when they need to reauthorize plans during the year, and 3) what they consider when reauthorizing plans. Compare their responses to the expectations described in the Guide on How to Implement Plan Authorization. <p>[Note: The authorizing officer should ensure that the:</p> <ol style="list-style-type: none"> a. Planning outline structure is in accordance with the approved CPAP/CPD b. Annual project results are SMART and are in line with the programme cycle objectives. c. The planned activities will support the achievement of the annual results. d. The planned inputs are necessary and appropriate to implement the planned activities. e. Planning outline folders are properly filled out. f. Programme, projects and activities are properly coded. g. Funds reserved for the activities are in line with the purpose of the contribution.]
<p>8. CONTROL The ProMS Planning Outline is completed for all AWP. [See related controls 7 & 9]</p>	<p>Review your office's ProMS-generated AWP for the current year and establish that the following folders are completed:</p> <ul style="list-style-type: none"> • Coding • Results • Budget, Staff, Partner
<p>9. CONTROL The annual planning</p>	<p>Select a few activities from the sampled AWP and establish that your</p>

process includes the definition of results which are expected to be achieved from the implementation of activities supported by UNICEF inputs. [See related control 7]	office has defined the results that are specifically expected from the planned activities (i.e. the result should not be stated in general terms such as "teachers trained" but specifically defined "300 teachers will have the skills to use the HIV/AIDS module in the classroom")
11. CONTROL Input ordering is well-distributed through the year to maintain a balanced schedule of programme implementation and minimize workload bottlenecks for programme and operations staff and counterparts.	Review the percentage of the previous year's total input requisitions issued by your office by the end of September and if it is below 75% of the year's total establish why this occurred, with particular consideration to finding out if this requisition pattern was planned or is due to delays in the implementation of some planned activities.
12. CONTROL Actual input ordering is timed to ensure that all necessary inputs are available at the time of scheduled implementation of activities.	For the sampled projects: review the AWP and the previous year's annual review documentation to establish that major activities were implemented as planned. Select several activities in the sampled projects, then identify the Supply/Cash/Consultant input requirements defined for each activity and establish that they were all available at the necessary time to implement the activity. Establish reasons for any significant delays in activity implementation, and assess if these were due to lack of availability of required inputs.
13. COMMUNICATION Relevant staff are aware of the need to establish annual project results and AWPs, and have been provided with guidance and training to develop SMART annual results and adequate AWPs, and to create AWPs in ProMS.	Interview a selection of project officers responsible for AWP development to establish how they have been supported to develop their AWPs---specifically in developing the annual project results and how the AWPs should be recorded in ProMS. Review any training materials/guidelines they may have received to assess their adequacy in guiding staff to develop annual objectives. Establish that they are aware of the results based management concepts in the PPPM and the 2005 RBM Guide . Interview the SPO or other relevant staff to establish if the Regional Office has provided any support for the development of skills in setting objectives, and in developing AWPs during the period of the present country programme.
Note: If significant problems are found in any of the above controls, assess controls 14-16	
14. MONITORING The Representative (or designated senior staff member) maintains awareness of the capacity of staff to develop SMART annual project results, define inputs, and the use of the ProMS planning and monitoring facilities.	Establish how senior management maintains awareness of staff capacity to develop SMART annual project results, define inputs, and the use of the ProMS planning and monitoring facilities.
15. MONITORING The Representative (or designated senior staff member) maintains awareness of the status of AWP development and approval of AWP content by implementing partners.	Establish how senior management monitors the status of AWP development and the receipt of written approval for the AWPs from the partners. Check if there are any monitoring reports that record the status of the AWPs.
16. MONITORING The Representative (or designated senior staff member) maintains awareness of the entry of AWPs in ProMS.	Establish how senior management monitors the status of AWP development and entry in ProMS.

Essential Element 2	Programme Implementation & Office Performance Monitoring Reports
Objective of this Element	To maintain timely awareness of the implementation and performance status of key elements of programme and office activities.
Potential Risks	<ul style="list-style-type: none"> • Incorrect coding of programmes, projects and activities • Undefined programme & operations performance standards/indicators • Ineffective use of key monitoring mechanisms • Inadequate staff skill to use established monitoring mechanisms • Weak supervision to maintain attention to performance standards
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate
<p>1. CONTROL The office ensures that programmes, projects and activities are properly coded in ProMS as part of the plan authorization process. [See related control 7 in element 1]</p>	<p>Generate Rover report on PIDB coding and assess the accuracy of the codes used to describe the selected activities in the sampled projects [see: Guide for the Review of PIDB Coding.]</p> <p>[Also see: CF/PD/PRO/2000-05, CF/PD/SR/2001-244, CF/PD/PRO/2002-002 and PD/EJJ/2002-080]</p>
<p>2. CONTROL The office uses the ProMS facilities to record programme implementation status.</p>	<p>For the sampled projects, generate the project progress report and establish that the office records actual results in the ProMS tab folder and activity implementation in the ProMS progress tab folder.</p>
<p>3. CONTROL The office uses the ProMS reports and view facilities and Rover briefing book reports to monitor the status of key implementation indicators.</p>	<p>Establish that the project officers who are responsible for the sampled projects know how to use the ProMS reports and view facilities and Rover Briefing book reports (particularly the Financial View in ProMS and the Project Progress Report) and that they actually use them to monitor the status of their projects.</p> <p>Establish if the interviewed staff are aware of the reports available in ProMS and Rover Briefing Book 9.0:</p> <p><u>From ProMS:</u></p> <ol style="list-style-type: none"> 1. Annual Work Plans (AWP) 2. Project Progress Report 3. Form 153 CAG Release and Liquidation Status <p><u>From the Rover Briefing Book:</u></p> <ol style="list-style-type: none"> 1. Project Implementation 2. Activity Reservation Status 3. Annual Project Assessment Report 4. Annual Project Result <p>Establish that your Representative, SPO and Operations Officer know how to interpret/read the ProMS and Rover briefing book reports and view tools and actually use them regularly to monitor status of all projects in the country programme.</p>
<p>4. CONTROL The office has defined and uses a set of performance standards and indicators to guide key elements of programme and operations.</p>	<p>Establish that your office has defined performance standards for key elements of the programme and operations, and that reports on the status of these indicators are issued regularly to the relevant staff.</p> <p>Devote particular attention to each of the following</p> <ul style="list-style-type: none"> • Status of AWP activity implementation (<i>ProMS Project Progress Report</i>) • CAG release & liquidation (<i>Form 153 in ProMS</i>) • Supply ordering and distribution • Programme fund utilization rates (<i>Rover</i>) • PBA use with attention to expirations (<i>Rover</i>)

	<ul style="list-style-type: none"> • Donor report requirements and status (<i>Rover</i>) • Funding - unfunded balances & fund raising actions (<i>ProMS - Financial View, CPSS/PSS</i>) • PER preparation and completion status • Staff learning plan implementation
Note: If significant problems are found in any of the above controls, assess controls 5-6	
5. COMMUNICATION Staff are trained in how to generate and interpret the standard ProMS reports and view facilities and rover briefing book reports, and any other performance monitoring reports established in the office.	Interview a group of project offices to establish what training they have received in how to create and interpret the standard ProMS and rover briefing book reports.
6. MONITORING The Representative (or designated senior officer) is aware of the scheduled generation and use of the ProMS and rover briefing book reports - and other office-standard reports - by relevant staff.	Establish how your Representative monitors the generation of the standard performance reports within the office.

Essential Element 3		Office Governance	
Objective of this Element	To define and maintain attention and alignment of all staff to UNICEF's programme priorities, annual programme/project objectives, and timely actions to maximize UNICEF performance.		
Potential Risks	<ul style="list-style-type: none"> • Unclear and uncoordinated roles for the CMT and other governance structures • Ineffective CMT and/or other governance structures • Inadequate/Inappropriate membership of the CMT • Weak communication of governance structure deliberations and decisions • Poorly defined and/or underutilized Annual Management Plan • Weak use of PER systems to align staff priorities to office priorities 		
Controls, Information/Comm & Monitoring		Tips to Assess and Evaluate	
1. CONTROL The office creates and utilizes an Annual Management Plan to define annual programme and operations priorities.	Establish that your office has an Annual Management Plan for the current year, and devote particular attention to ensuring that the office has defined: 1) annual programme priorities that UNICEF will promote in its interaction with counterparts and others, and 2) key result areas for internal and programmatic achievements that are substantially within the control of UNICEF to complete in the year. [See Revised Guidelines for CPMP and AMP (Exd memo/2005-005) and chapter 4 of the PPPM]		
2. CONTROL The CMT fulfils its role of advising the Representative on: <ul style="list-style-type: none"> • "Policies, strategies and human and financial resource allocations" • "Monitoring of programme implementation and performance" • "Evaluation of programme results and lessons learned" (ExBoard Paper: The Organization of UNICEF , (E/ICEF/Org/3) June 1998)) [See related control 4 in element 2]	Establish that your office's CMT has a written terms of reference, and if so, that it includes the role defined in the Organization of UNICEF (E/ICEF/Org/3) and chapter 4 of the PPPM . Review the minutes of the CMT meetings for the past 12 months to establish that the CMT has effectively managed its mandated role. Devote particular attention to the actions of the CMT to: <ol style="list-style-type: none"> 1) review the MTSP and take actions to ensure alignment to the MTSP priorities 2) maintain attention to their annual priorities 3) use programme and operations performance monitoring reports to analyze the office performance and take actions to ensure effective implementation. 4) analyse results of evaluations and agree on and monitor follow-up actions 		

<p>3. CONTROL The CMT is effectively managed.</p>	<p>Review the CMT files for the past 12 months to establish that the CMT has regularly scheduled meetings, agendas that address the terms of reference, written minutes, and actively follows-up the progress taken on actions agreed within the meetings.</p>
<p>4. CONTROL <i>For offices with governance structures in addition to the CMT--such as programme coordination groups, etc.:</i> The governance structures have and fulfil clearly defined terms of reference, and there is a clearly defined relationship and coordination between these bodies and the CMT.</p>	<p><i>If your office has a programme coordination group or other body in addition to the CMT:</i> Establish that the governance structures have defined terms of reference, record the proceedings of their meetings, and monitor the implementation of agreed actions.</p> <p>Establish that there is a clearly defined and coordinated relationship between the CMT and the other governance structures, and that the members are aware of the differences and relationships between the bodies.</p>
<p>5. CONTROL <i>For offices with sub-offices:</i> There is a management process to establish and maintain alignment and coordination between the priorities and implementation plans at the national and sub-national levels.</p>	<p><i>If your office has sub-offices:</i> Establish that there is a clearly defined relationship between the country office and sub-offices to ensure alignment between the programme priorities at the national and sub-national levels through a comparison of the annual management plans or other annual planning documents at each level and interviews with staff.</p>
<p>6. CONTROL The office uses the PAS to define annual staff activity priorities in alignment with the annual office priorities and uses the system to monitor and document staff performance in relation to their defined individual priorities. (See related test in control 1 of element 6)</p>	<p>Review the previous and current years' PERs of the project officers responsible for the sampled projects to establish that:</p> <ol style="list-style-type: none"> 1) Their annual activity priorities were defined within the first quarter of the year. 2) Performance discussions were held with their supervisors at least twice in the previous year, and there is a note for the record of the discussion. 3) Their performance was assessed and documented at the end of the year through a completed PER form. <p>Establish that your office monitors the use of the PAS systems and takes actions to address any areas of weak application.</p>
<p>Note: If significant problems are found in any of the above controls, assess controls 7-9</p>	
<p>7. COMMUNICATION Staff are aware of the role of the CMT and other governance bodies and the outcome of their deliberations.</p>	<p>Establish through interviews with a number of staff who are not members of the CMT and other governance bodies that 1) staff have been made aware of the role of the CMT, 2) have regular access to the minutes of the meetings, and 3) are informed of follow-up actions that they are expected to take following decisions made in the CMT.</p>
<p>8. COMMUNICATION Staff are aware of the requirement to use the PAS and how to implement their responsibilities within it.</p>	<p>Establish that your office has a mechanism to train staff in how to use the PAS--with particular attention to providing training to supervisors in their role to ensure that annual priorities are established, performance discussions are held, and PERs are completed.</p>
<p>9. MONITORING The Representative maintains awareness of the functioning of the CMT in relation to its defined role, and ensures that actions agreed in the CMT are monitored for implementation.</p>	<p>Assess the awareness of your Representative of the role of Field Office CMTs noted in Control 1.</p> <p>Assess how your Representative monitors the functioning of the CMT and other governance bodies and implementation of agreed actions.</p>

Essential Element 4	Programme Monitoring and Evaluation
Objective of this Element	To maintain awareness of the implementation and worth and significance of programme activities and use this information to strengthen future UNICEF support.
Potential Risks	<ul style="list-style-type: none"> • Weak focus of monitoring and evaluation resources on priority decision-making questions • Inadequate programme monitoring and evaluation mechanisms to provide information for results-based management • Inadequate assessment of previous year's performance • Poor quality and weak use of evaluations to strengthen programme implementation • Weak coordination with partners to assess programme implementation • Inadequate staff knowledge of norms and good practice to develop and implement monitoring & evaluation activities • Weak follow-up to conclusions and recommendations from monitoring and evaluation activities
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate
<p>1. CONTROL The office has and uses Integrated Monitoring and Evaluation Plans (IMEPs) for the country programme and the current year.</p> <p>[Note: Where there is no annual IMEP, use the M&E activities identified in the Annual AWP and/or the 5-year IMEP as a reference]</p> <p>[Note: The PPPM recommends that COs plan roughly 2-3 major M&E activities per year depending on capacities, but above all not more than they were able to implement in the previous year, unless CO capacities have changed dramatically or the previous year was intentionally and strategically a low implementation year for M&E]</p>	<p>Establish that your office has an IMEP that covers the current country programme cycle and an annual IMEP for the current year that details the key M&E activities to be undertaken in the year. [See: Chapter 6, Section 7 for guidance on what is expected to be included in a country programme IMEP and an annual IMEP.]</p> <p>Interview a selection of programme staff responsible for the sampled projects to assess how monitoring indicators and research and evaluation priorities are established for their programme/projects.</p> <p>Review the major M&E activities in the annual IMEPs for the previous and current year--evaluations, surveys, introduction of monitoring systems--and establish that they were actually implemented.</p> <p>Where major planned M&E activities have not been implemented, review the total number of major M&E activities planned for the previous and current year to consider the possibility that the office is over-planning and failing to prioritize.</p>
<p>2. CONTROL AWP include monitoring, research and evaluation activities - including the assessment of the effectiveness of the specific activities of the UNICEF programme of cooperation (not just the status of children & women), and planned M&E activities are implemented in a manner that meets UNICEF's quality standards.</p>	<p>Review a selection of the previous year's AWP from the sampled projects and establish if they each have: 1) a specific section that described planned research and evaluation activities to be implemented during the year, and/or 2) note any monitoring, research, or evaluation interventions within the AWP activities.</p> <p>Review the Terms of Reference for a selection of evaluations implemented in the past 2 years and establish that:</p> <p>a) The TORs covered--as a minimum--the following key points:</p> <ul style="list-style-type: none"> • the purpose of the evaluation, i.e. the intended use • evaluation objectives and/or questions • evaluation methodology or a planned process for developing the evaluation design/methodology • the roles and responsibilities of the evaluation team leader and team members, as well as other stakeholders and advisory structures involved, including providing for the impartiality of the evaluation process • clear definition of evaluation products--including the final

	<p>evaluation report and, if desired, any additional related syntheses or targeted products for dissemination.</p> <p>[Note: The above are the most critical elements of good practice detailed in Evaluation Technical Note 2.]</p> <p>b) The TORs include reference to standard OECD/DAC criteria (relevance, efficiency, effectiveness, sustainability, and impact), and--when the evaluation covers emergency activities--additional OECD/DAC criteria: coverage, co-ordination, coherence, and protection. All criteria need not be covered by each evaluation, but an explanation for any that were excluded should be given. Any evaluation conducted after the release of the 2004 PPPM should also include reference to two additional UNICEF-specific criteria--1) the application of human rights-based approach and, 2) results based management strategies. [See: Evaluation Technical Note 2, Rev Jan 2004.]</p> <p>c) The TORs include mention of Programme Evaluation Standards -- either to those adopted by the national or regional professional evaluation association or, in the absence of agreed national/regional standards, to those adopted by the American Evaluation Association or the African Evaluation Association, as a guide on the evaluation process and product. [See: Evaluation Technical Note 2, Rev Jan 2004.]</p>
<p>3. CONTROL The office has and applies standards for the frequency and activity expectations for project officers' interaction with counterparts.</p>	<p>Establish that your office has standards for the frequency and content of project management interactions--such as coordination meetings--with counterparts [Note: these may be specified in the Annual Management Plan or elsewhere].</p> <p>For the sampled projects, assess the frequency, content, and recorded outcome of UNICEF's interactions with counterparts for the management of the projects in the previous year.</p>
<p>4. CONTROL The office has and applies standards for the frequency and activity expectations for staff field visits to UNICEF-supported activities.</p>	<p>Establish that your office has standards for the frequency and quality of field monitoring activities by relevant staff. [Criteria: see PPP Manual--Chapter 6, Section 13].</p> <p>Review the PERs for the previous year of a selection of the project officers responsible for the sampled projects to identify any performance expectations for field monitoring activities.</p> <p>Review the background data provided by your office in last year's annual report and your office's travel records to assess the frequency of in-country travel actually devoted to field monitoring--rather than for other activities such as event opening ceremonies.</p> <p>Establish if your office has defined any expectations or uses a checklist of what to review during field visits--including attention to the use of supply assistance, the effectiveness of cash assistance, and partners' record-keeping practices for cash assistance.</p> <p>Establish your office's awareness and use of the field visit monitoring checklist in the 2003 PPP Manual--Chapter 6, Section 13.</p> <p>Establish that your office has defined standards for the generation of field trip reports; and that these standards include the recording of findings, the development of recommendations for action when warranted, and the need for follow-up action. For the sampled MTSP-related projects, establish that the office standards were followed last</p>

	year by relevant programme staff.
5. CONTROL The office holds an UNDAF Annual Review with its main programme partners, which results in a report that includes recommendations/ agreements for strengthening future programme performance. (See related test in control 3 of element 1)	<p>Establish that your office created a report of the previous year's UNDAF Annual Review.</p> <p>Establish that the last annual review actually considered the progress against the planned results and activities of the originally endorsed AWP.</p> <p>Assess the report of the previous year's annual review with partners to establish that the review includes statements of agreements and recommendations for action to be undertaken by UNICEF and/or partners in future years. If this is not done, determine why. [See: Guidelines for UNDAF Annual Reviews and Mid-Term Reviews]</p>
6. CONTROL The office addresses the recommendations issued by annual reviews, mid-term reviews and evaluations. [See the related control 3 in element 1]	<p>For the sampled projects: Identify the agreements and recommendations made in the annual review reports of the past two years, the mid-term review if undertaken in that time period, and the agreed follow-up action for a selection of evaluation reports and establish that your office has actively addressed them. [Note: COs may reject a conclusion and/or determine an alternative response to a problem than that recommended, but this response and the agreed follow-up actions should be documented in the minutes of the CMT or alternative appropriate forum, and monitored by the CMT. See PPPM, Chapter 5]</p> <p>For the evaluations sampled in control 2, establish that the evaluations' conclusions and recommendations were discussed in a meeting of the office's CMT and/or another appropriate body--with or without partners as appropriate-- and documented.</p>
Note: If significant problems are found in any of the above controls, assess 7, 9 & all of 8	
7. COMMUNICATION Staff are informed of requirements for including M&E activities in annual AWP, and of standards for the frequency and expected content of field monitoring activities.	<p>Interview a selection of programme staff to establish their awareness of any requirements to include M&E activities in their AWP, and any expectations for the frequency of field monitoring.</p> <p>Identify any written guidance that provides direction to programme staff on expected issues to be addressed during field visits - with particular attention to the assessment of the effectiveness of UNICEF-provided inputs of supply and cash assistance.</p>
8. COMMUNICATION The office provides technical support to staff in the development of monitoring, research and evaluation activities.	<p>For the evaluations examined in control 2 above:</p> <p>a) Interview managers of the sampled evaluations to establish if there was any form of quality review of the evaluation TORs and/or evaluation design before the evaluations were implemented as recommended in the PPPM, Chapter 5..</p> <p>b) Establish that the staff involved in the development of the sampled evaluations made use of 1) the PPPM, 2) the Evaluation Technical Note 2 on evaluation TORs and, 3) the Evaluation and Research Database on the UNICEF intranet, when they developed the TOR and evaluation design.</p>
9. MONITORING The Representative (or designated senior staff member) is aware of the implementation of research and evaluation activities, staff field monitoring activities, and the implementation of recommendations issued during reviews and evaluations.	Interview your Representative (or other designated staff member) to establish how they monitor the implementation of major monitoring, research and evaluation activities, the reprioritisation of resources allocated to M&E where implementation of planned activities is curtailed, the frequency of staff field monitoring, and the follow-up to recommendations issued in reviews and evaluations.

Essential Element 5	Annual Programme & Office Management Performance Reporting	
Objective of this Element	To report annually on programme and office management performance in a manner that accurately portrays the major strengths and weaknesses of the Country Programme and the UNICEF office.	
Potential Risks	<ul style="list-style-type: none"> • Incomplete/inaccurate annual report • Inaccurate information reported • Inadequate guidance from HQ on the development of the annual report • Limited staff awareness of reporting requirements 	
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate	
<p>1. CONTROL The office completes an Annual Report that includes the elements stated in that year's guidelines.</p>	<p>Review your office's 2003 annual report against the Annual Report Guideline for the year (Exdir 2003-022) to establish that the following key elements were included. If any are not included, establish why they were not addressed (the most common omission is the elaboration of constraints and problems in each programme):</p> <ul style="list-style-type: none"> • Section 3.2. Report on Progress of Country Programme Components: • Results achieved in 2003--including a comparison between planned and actual achievements • Most significant internal and external constraints • Priority actions planned for 2004, particularly those that will address the constraints faced in 2003 	
<p>2. CONTROL The annual report Result Matrix for the MTSP priorities presents a fair and justified representation of the actual status of key results.</p>	<p>Select the two MTSP priority areas that the office is most actively addressing, and assess the accuracy and adequacy of the basis for the information reported by the office in their 2003 Annual Report Results Matrix-Annex A in the section of each matrix titled "Key Results Achieved in this Priority Area in 2002--2003" with particular attention to those identified as specifically achieved in 2003.</p>	
<p>3. CONTROL The annual report Management Indicators Table presents a fair representation of the office's operational and programme management issues.</p>	<p>Review the reported status of the following indicators in the Management Indicators Table and assess their accuracy through a comparison with information available in the office:</p> <ul style="list-style-type: none"> • Q 3-Estimated % of the planned monitoring, evaluation and research activities actually completed in 2003 • Q 4-An update of Emergency Preparedness Response Plan was completed during the year and, if the emergency profile changed, the rest of the plan was updated. • Q 9-Total donor reports due in 2003 and % sent on time • Q10-Existence & functioning donor report quality assurance mechanism • Q 11-Month when the AMP for 2003 was completed • Q 12-Completion of an Annual Management Review and report of the review. • Q 13-Average number of days spent on in-country field visits per professional staff member • Q 15-Percent of 2002 PERs completed (with 1st supervisor's signature) by end-February 2003 • Q 16-Existence of an office training/learning plan in 2003 <p>Compare the reported statement in the Operations and Programme Management narrative section (questions a-j) with your knowledge of the actual activities of the office, and comment on the accuracy of the statements made in the annual report.</p>	

	If there is any significant variance between reported conditions and actual conditions in any tested area of the annual report, establish why this has occurred.
Note: If significant problems are found in any of the above controls, assess 4-6	
4. CONTROL The annual report is reviewed and approved by the Representative.	Establish that your Representative reviewed the content of the annual report and approved it before it was submitted to the Regional Office and Headquarters.
5. COMMUNICATION The Representative (or designated staff member) circulates the year's content guideline, establishes deadlines for the completion of the report, and informs staff of the need for analysis, accuracy and completeness in reporting (including reporting of significant problems and shortcomings).	<p>Review the practices of the previous year to establish that your Representative (or designated staff member) circulated the annual report guidelines from HQ to the appropriate staff and informed them of the internal deadlines for completing the draft and final report.</p> <p>Interview a selection of staff who participated in the development of the last year's report to establish that they were provided direction on how to complete programme-level analysis and the need for accuracy, and completeness in their reporting.</p>
6. MONITORING The Representative monitors the timely and accurate development of the annual report.	Establish how your Representative maintains awareness of the progress of development of the annual report, staff's awareness of the expected level of analysis and completeness, and how significant statements are verified before the report is submitted.

Essential Element 6	Staff Training in Programme Management and Technical Subjects
Objective of this Element	To ensure that UNICEF staff have adequate skills to implement their programme management responsibilities.
Potential Risks	<ul style="list-style-type: none"> • Undefined programme management and technical skill expectations for staff • Failure to identify staff training needs • Office training plan established but not properly implemented
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate
1. CONTROL The office defines the programme management and technical standards expected of programme staff--with particular respect to new strategies & activities.	<p>Establish that your office has defined the programme management and technical standards for programme staff (these may be stated in Job Descriptions, in the CPMP, Annual Management Plan, or elsewhere).</p> <p>With particular reference to the 5 MTSP priorities (and especially if your office is now in the first or second year of a new programme cycle): establish that your office has defined the skill requirements for any new programme strategy or activities introduced in the country programme or this year's Annual Management Plan.</p>
2. CONTROL The office develops and implements an office training plan each year that addresses the gaps between performance standards and actual performance in the office in relation to programme and management skills, and the capacity to implement the programme strategies.	<p>Review the existence, content, and actual implementation of your office's learning plan for the previous and current year. [See: Preparation of 2003 Learning/Training Plans (ExDir 2003-004)].</p> <p>If you have found any general weaknesses in programme management during your review of the other elements of Basic Programme Control (planning, M&E, etc.) assess what actions your office has taken in the past year to build skills in those areas.</p> <p>Establish that your office has developed a plan for all professional staff to complete the CD-based PP training in 2004, and assess if the office is on track to achieve its goal--with reference to the number of staff in the office, the number who have completed the package to date, and the number of months remaining in the year.</p>

<p>3. CONTROL Programme Staff have defined training priorities in their PERs for programme management and technical skill development; and these training priorities are addressed through successfully implemented training activities. (See related test in control 6 of element 3)</p>	<p>For a sample of programme staff who work on the sampled projects: establish that the individual training plan development process functions correctly through a review of their previous year's PERs, and interviews with programme staff and supervisors on (a) how individual training plans are developed, (b) how agreement is reached between staff & supervisors on training priorities, (c) actual implementation of the training plans.</p> <p>Establish that staff have as one of their learning objectives to complete the CD-based PPP course.</p>
<p>Note: If significant problems are found in any of the above controls, assess 4-6</p>	
<p>4. COMMUNICATION The Representative has ensured 1) that programme management and technical skill expectations are communicated to staff, 2) that staff are informed of the expectations for skill development and 3) staff are informed of the existence of training opportunities to strengthen skills.</p>	<p>Establish that your Representative (or designated staff member) has informed staff of the expectations to have the skills necessary to implement their present assignments, and has ensured that staff are informed of UNICEF and local training opportunities to meet those skill expectations.</p> <p>Interview a sample of professional programme staff to learn whether they were encouraged to complete the interactive PP-CDROM "UNICEF Programming Made Easy"</p>
<p>5. COMMUNICATION The Representative has informed supervisors and staff of the requirement to develop individual training plans as a component of the PAS.</p>	<p>Establish that the Representative (or designated staff member) has informed all staff of the requirement to develop an individual training plan each year.</p>
<p>6. MONITORING The Representative maintains awareness of the skill profile of programme staff, the existence of training plans to meet programme management and technical skill priorities, and the status of implementation of those training plans.</p>	<p>Establish that your Representative is aware of the profile of programme staff management and technical skills.</p> <p>Establish that your Representative reviews the annual office training plan and ensures that programme management and technical skills to meet any new programme strategies or activities are addressed.</p> <p>Establish that your Representative monitors the implementation of the office training plan and addresses any shortcomings in implementation.</p> <p>Establish that your Representative is aware of the status of implementation of individual training plans, and addresses instances where agreed plans are not being implemented.</p>

Essential Element 7 (For countries with completed UNDAFs)	UNICEF Programming Within the UN Development Assistance Framework	
Objective of this Element	To advance the achievement of UNICEF's priorities through the UNDAF and strengthen the effectiveness of the UN's contribution to national development through UNICEF involvement in the UNDAF development, monitoring, and evaluation as an integral component of UNICEF's country programme.	
Potential Risks	<ul style="list-style-type: none"> • Inactive, ineffective, or dysfunctional UN Country Team • Weak UNICEF participation and support for the CCA/UNDAF processes • Missed opportunities to mobilize other partners in support of children's rights • Weak guidance and support to the country office from the RO and HQ divisions • Disconnect between the priorities established by the UNDAF and the UNICEF supported country programme 	
Controls, Information/Comm & Monitoring	Tips to Assess and Evaluate	
<p>1. CONTROL The office has secured adequate attention to UNICEF's priorities (the 5 MTSP priorities and any region-specific priorities relevant to the country) in the UNDAF.</p>	<p>Review your country's UNDAF--particularly section 2 and the UNDAF results matrices--to establish that the MTSP priorities are adequately reflected.</p> <p>If the UNDAF does not include statements that reflect UNICEF's priorities: 1) interview the UNICEF staff who were involved in the UNDAF process to establish why specific priorities are not included; 2) get from the office a copy of the regional office's comments to the country office on the draft UNDAF to establish if their comments addressed the missing UNICEF priorities, and assess if the country office acted on the regional office's comments.</p>	
<p>2. CONTROL The areas in the UNDAF related to UNICEF are reflected in UNICEF's Country Programme Document and the Country Programme Action Plan (CPAP).</p>	<p>Review the UNDAF to identify the areas of cooperation that UNICEF is pledged to support, and then establish that these support areas form the major share of the intervention areas stated in the CPD (this should be clearly presented in the CPD results matrix) and CPAP. [Note: A rough guideline is that at least 80% of the programme budget funds in the CPD/CPAP should be directed to supporting areas that UNICEF has committed to in the UNDAF]</p> <p>If there are significant gaps between the statements on UNICEF's activities in the UNDAF and those that are actually in the CPD and CPAP: 1) interview the UNICEF staff who coordinated the development of the CPD and CPAP to establish why there are such differences; 2) get from the office a copy of the regional office's comments to the country office on the draft CPD to establish if the RO's comments addressed the difference between UNICEF's areas of cooperation in the UNDAF and the CPD, and assess if the country office acted on the regional office's comments.</p>	
<p>3. CONTROL The staff involved in the development and monitoring of the UNDAF use the relevant guidance issued by UNDG and UNICEF.</p>	<p>Establish that the staff who coordinated the development of the UNDAF have and use the guidance issued by the UNDG and UNICEF, particularly:</p> <ul style="list-style-type: none"> • CCA/UNDAF Guidelines (2007) • Quality Support and Assurance System for the CCA and UNDAF Processes and Products (Forthcoming) • Programme Policy and Procedure Manual: Programme Operations (Chapter 3.2) <p>Establish that 1) the UNICEF staff who were involved in the</p>	

	<p>development of the UNDAF used the "CCA and UNDAF Quality Assurance review" in the review of the processes and documentation before the CCA and UNDAF were finalized; and 2) any key recommendations from the quality assurance exercise have been addressed by the UN country team (UNCT).</p>
<p>4. CONTROL The office participates in the coordination mechanisms that have been established among the UN agencies to advance and monitor the common outcomes established in the UNDAF--particularly in areas that call for joint programming activities.</p>	<p>Review the UNDAF to learn what coordination mechanisms are to be established to maintain attention to the priorities established in the UNDAF and to monitor their achievement--for the overall UNDAF and for each of the areas of cooperation that UNICEF is pledged to be involved in--then interview the UNICEF staff who coordinate and monitor UNICEF's involvement in the overall UNDAF and a selection of those responsible for some of the areas of cooperation to 1) establish if the planned (or other) coordination mechanisms exist; 2) establish that UNICEF staff actively participate in the coordination mechanisms that do exist.</p> <p>Interview the UN Resident Coordinator to secure a view from outside UNICEF of on how UNICEF has contributed to the development, implementation, and monitoring of the UNDAF, and identify any areas of significant constraint.</p>
<p>5. CONTROL Regional and headquarters' support and monitoring is adequate and timely.</p> <p>[Note: There should be interagency support from the regional level (and from HQ) to support country teams. This support should help countries to make the UNDAF consistent and logical, and to support the preparation process.]</p>	<p>Establish that the RO (as part of an interagency team response) and HQ divisions have maintained contact with the country office to provide guidance on UNDAF development requirements and have offered technical advice on the UNDAF preparation process and on UNICEF perspectives on UNDAF development.</p> <p>Establish that the responses from the UNICEF RO and HQ divisions to requests (if any) from the country office on issues related to the UNDAF and UNICEF programming were found useful and timely.</p>

Section 15: Guidance Note on Promoting Participation of Children and Young People

This section describes the programmatic implications of seeking to increase participation of children and young people in national development and in UNICEF-assisted programmes. Complementing the 2003 [State of the World Children Report](#) and the participation of children in the 2002 United Nations General Assembly Special Session on Children ([SSC](#)), this section discusses options for involving children and young people in the preparation of National Plans of Actions (NPAs) and similar policy processes, and how to move from event-based approaches to the institutionalising of participation opportunities in the home, school and community. It proposes a systematic approach based on the understanding of participation as a Human Right. Some principles and standards in relation to the involvement of children and young people are provided. The added challenges of bringing about authentic participation of children and young people from deprived and marginalized population groups are discussed.

We know more clearly now than ever before that if development is to be sustained and poverty to be reduced, it will require the strong and active participation of children, women and men in the decisions that affect them. (*United Nations Secretary-General, "We, the Children", 2001*)

The suggested concepts and methods for increasing participation do not imply the creation of stand-alone 'Participation Projects'¹⁰. Instead, UNICEF-assisted programmes would be expected to adapt the suggestions to help them advancing towards their specific MTSP-related objectives.

1. The Case for More and Better Managed Participation

The following points may help staff to overcome the often negative attitudes and overt or de facto resistance by government officials, politicians or development workers to acknowledge the right to participation¹¹ and the contribution that children and young people can make to development - including the preparation of instruments such as NPAs or Poverty Reduction Strategies (PRS):

- The Universal Declaration of Human Rights and the Convention on the Rights of Child ([CRC](#)) firmly establish participation as a Human Right. CRC Article 12 says that: *State Parties shall ensure to the child who is capable of forming his or her own views the right to express those views freely in all matters affecting the child, the views of the child being given due weight in accordance with the age and maturity of the child.*
- The Convention on the Elimination of All Forms of Discrimination against Women ([CEDAW](#)) is exceptionally strong on the participation rights of women. Article 7 says that *States Parties shall take all appropriate measures to eliminate discrimination against women in the political*

UN Declaration on the Right to Development (Article 1) ...every ...person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development...

¹⁰ Blatant denial of participation rights – such as in cases of early and forced marriage – may indeed require special protective measures and interventions. These are not subject of this note.

¹¹ Social norms, local attitudes, values and practices in respect to participation vary greatly, and UNICEF offices will start from different 'baselines' when aiming to increase the involvement of children in local and national development.

and public life of the country and, in particular, shall ensure to women, on equal terms with men, the right... to participate in the formulation of government policy and the implementation thereof ... and to participate in non-governmental organizations and associations concerned with the public and political life of the country¹².

- The [Millennium Declaration](#) reaffirms the commitments made under other treaties, and itself commits in Article 25: ... to work collectively for more inclusive political processes, allowing genuine participation by all citizens in all our countries...¹³

- In adopting the Outcome Document of the UN Special session on Children: A World Fit for Children ([WFFC](#)), nations made a strong commitment towards increasing participation of children (see box)

Children, including adolescents, must be enabled to exercise their right to express their views freely, according to their evolving capacity, and build self-esteem, acquire knowledge and skills, such as those for conflict resolution, decision-making and communication, to meet the challenges of life. The right of children, including adolescents, to express themselves freely must be respected and promoted and their views taken into account in all matters affecting them, the views of the child being given due weight in accordance with the age and maturity of the child... Disadvantaged and marginalized children, including adolescents in particular, need special attention and support to access basic services, build self-esteem and to prepare them to take responsibility for their own lives. We will strive to develop and implement programmes to promote meaningful participation by children, including adolescents, in decision-making processes, including in families and schools and at the local and national levels. (*WFFC, paragraph 32 i*)

- Sustained achievement of development gains is likely to be dramatically increased, if these gains are attained through participatory approaches¹⁴. Consultation and sensitivity to local realities (especially of poor people) build trust in public policy and government interventions¹⁵, and enhance the sustainability or effective use of an available service. Participation of stakeholders can help ensure that necessary changes in service provision, levels of awareness or behaviour are supported by those who are affected.
- Children and young people are often much better placed than external duty-bearers to take the lead in assessing and analyzing their situation, and coming up with possible solutions. Planners often discount their participation under the pretext that the job at hand (e.g. drafting a policy) requires expertise and skills only obtained through a completed education, or specialist training. But, by way of example:
 - Young people are well placed to determine whether or not a health facility is responsive to their particular needs;
 - young girls may know best why they or their peers drop out from school;

¹² This chapter does not deal specifically with exclusion and discrimination against girls and women, but an important standard and ethical consideration is equity in participation, including equity between women and men, and girls and boys.

¹³ Participation, including child participation has been embedded in many other international agreements

¹⁴ There is abundant literature (e.g. the World Bank's Participation Resource Book) on the imperative of participation for sustainable development. However, the need for participatory approaches is usually not sufficiently spelled out in Government policies, handbooks, training manuals or evaluations.

¹⁵ The perception of many poor people is that they survive despite many current policy initiatives, not because of them – and they often ignore, subvert or misread them (see de Waal, Alex and Nicolas Argenti: *Young Africa*, Africa World Press, Inc. 2002)

- young people may know best what message or campaign style is likely to have the greatest effect on their peers' knowledge, attitudes and practices regarding sexuality and relationships.

Examples of participation as a programmatic necessity:

- To “get ahead” of the HIV/AIDS pandemic, young people need not only be protected, but be involved as peer educators and *agents of behavioural change*.
- Demobilized child soldiers need to be involved in determining how they can positively contribute to nation-building

- Participation is a programmatic necessity for many development interventions, which depend on young people as actors. Societal change, including behavioural change, is often driven by young people. Children and young people need information and knowledge to protect themselves, and are important potential advocates and partners in the MTSP priority areas¹⁶.
- Fuelled by perceived injustice, disillusionment, and lack of opportunities, young people may be “participants” in a violent conflict. Providing opportunities for participation in community life, along with keeping children in school, is a strategy to prevent child soldiering, and helps young people develop skills, build competencies, form aspirations and gain confidence.

2. Principles and Ethics of Promoting Participation of Children and Young People

Human Rights Principles related to child participation:

- Human Rights principles, and the CRC foundation principles¹⁷ should guide interventions aimed to increase participation of children and young people.
- Participation and the right to freedom of expression are not to be equated with self-determination. Each child's view must be weighed in relation to the child's best interests in any decisions eventually taken.
- The CRC establishes that State Parties must respect children's rights to freedom of thought, conscience and religion, and parents' or guardians' respective roles. Programmes must acknowledge and build on these respective roles.

A particular challenge lies in ensuring genuine participation of children from marginalized groups or families who are poor, or children in difficult circumstances. Usually the wealthy or better-educated are the first to pick up new services or subsidies, or opportunities to influence plans¹⁸. The poorest children are most likely to be denied the right and opportunity to make their views heard. Similarly, many societies have set additional barriers to participation of women and girls, and these barriers are often not explicit. Different strategies may be required to overcome gender-specific barriers. Genuine involvement of the disadvantaged will reduce risk that development investments merely benefit the already privileged few, rather than leading to broad-based social change.

*Ethical considerations*¹⁹:

¹⁶ See, for instance, the UNICEF Operational Guidance Note on the Mid Term Strategic Plan ([Exdir 2002-29](#))

¹⁷ See Chapter 2, section 1 of the PPP manual

¹⁸ It is, for instance, unlikely that poor families will have access to web-based communication platforms and consultations

¹⁹ For more information on ethics in research and M&E see: [Evaluation Technical Notes, No.1](#), which contains extensive checklists for managers considering child participation in monitoring, evaluation and research activities.

Children and young people can be manipulated to say what suits somebody else. Participation only becomes positive where based on respect and where no attempt to stigmatise or manipulate the participant is made²⁰. Efforts that are characterised by tokenism, decoration and manipulation not only fail in their objective, but also discredit the initiative and the organisations involved. In promoting participation, Country Offices may run the risk of entanglement with a pre-determined political agenda and interests, unless ethical standards and principles are observed.

- *Children need to be fully informed about their roles.* Programme planners are responsible for ensuring that children receive the information they need to form their own views, as well as to decide whether they choose to express them, or otherwise participate in activities and specific events. Children need to feel free not to participate, or to leave a project or activity at any time. Children must be informed of the potential implications of their participation. Informing implies conveying information in a form appropriate to the context and the children's capabilities (e.g. use of child-friendly language). Those who contributed with information or otherwise participated in activities are entitled to know what happened next, or what progress is being made.
- *Relevance to the child's reality:* Children should first and foremost be invited to participate on issues relevant to their own environment (home, school, community). The level of participation sought should be appropriate to the age and maturity of the children involved.
- *Ensuring children's safety:* Children must not be exposed to risks. These risks can include: psychological effects on the individual child (e.g. research on abuse where fears and pain of the past may re-emerge); negative effects on family and community relations; physical risks; acute threats such as reprisals by people who feel threatened by children's statements. In keeping with the 'best interest of the child', the responsibility to protect children may entail withholding information from children where that information may place them at risk.
- *Confidentiality:* Research and information gathering activities must ensure confidentiality. However, if information reveals that the young informant is at acute risk or is at risk to others, the researcher has to intervene. The researcher should be clear about the type of follow up that may be needed, or referrals that can be made. Children must be made aware of the arrangements made for and limits to confidentiality.

Situations of instability and crisis

Safety considerations are especially important in situations of instability and crisis, including displacement, and other difficult circumstances. Young people can contribute to peace accords and plans for post-war recovery and rehabilitation (e.g. "future search" consultations), not at least because the warring parties purportedly act in their best interests. However, involvement in peace initiatives may cause them to be seen as subversive by their peers. Country Offices must clarify the limits of the support they can provide, and the type of activities they cannot be associated with.

²⁰ The 'ladder of participation' introduced by Roger Hart: *Children's Participation, Earthscan/UNICEF* ranks different forms of participation. It doesn't imply that children always have to participate 'on the highest rung', but that programme managers need to be conscious about the degree of participation desired by children or possible under the circumstances.

- *Consent regulations:* Programme planners must respect the consent regulations of the countries in which they are working. Parental consent to a child participating in an activity does not absolve the programme manager from ensuring that the child is not exposed to risks. All issues of negotiating consent and encouraging children to express themselves must be carried out with recognition of the power imbalances between children and adults.
- *Inclusion:* Selection of those children who participate and of the processes and methods should serve to correct, not reinforce patterns of exclusion. This requires attention to socio-economic barriers including gender and age discrimination, and to the different ways and capacities through which children express themselves. Extra efforts may be required to ensure the inclusion of marginalized groups and a “level playing field” for participants. Activities or events should be equally conducive to girls and boys, non-competitive and non-threatening.
- *Setting realistic expectations:* Invitations to participation must not raise unwarranted expectations (e.g. if a local council has no funding for new facilities for children, then there is no point in asking children what they would like). Children’s and young people’s view should not be romanticised as invariably brilliant regardless of the quality of their thought or insight. It deprives them of the opportunity to critique and further develop their reasoning.

3. *A Human Rights Based Approach to Participation*

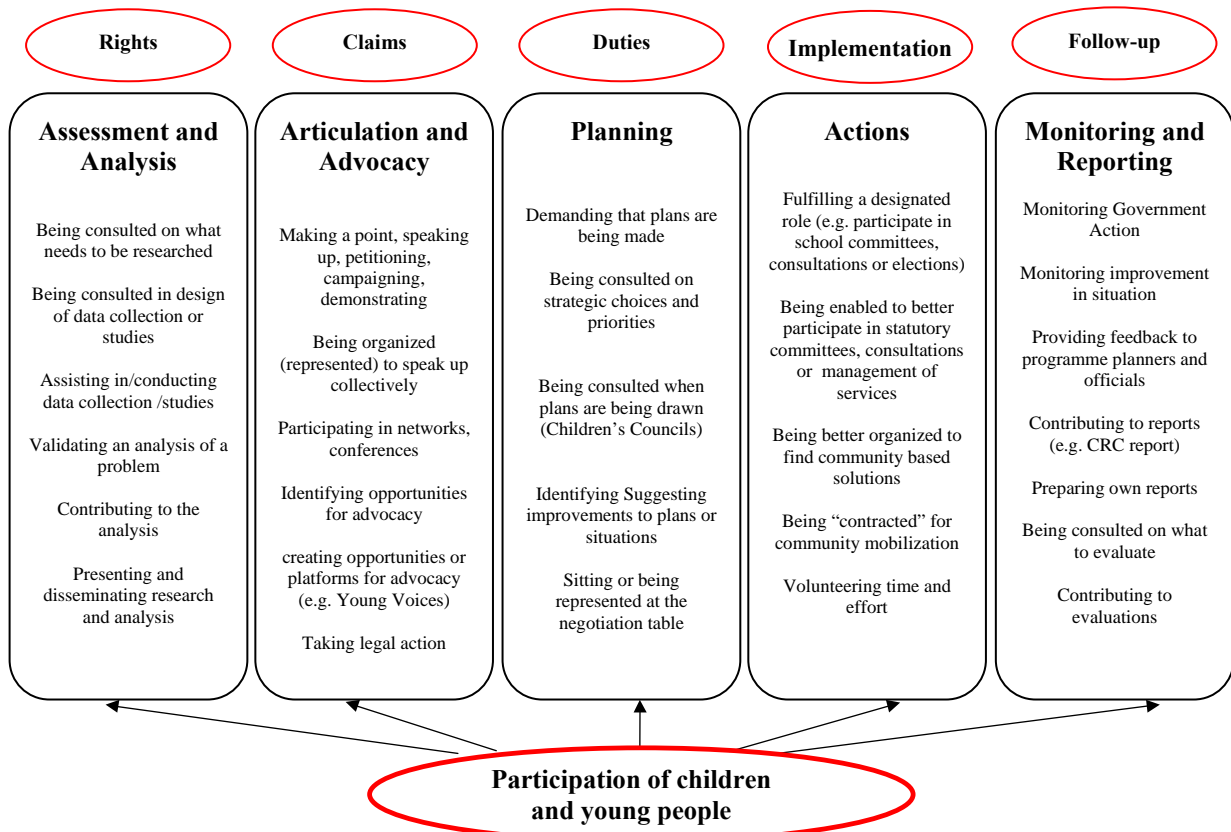
Children whose **rights** remain unmet have **claims** against those with an obligation to act. Parents, communities, CSOs and governments have resulting **duties**, though parents may also have unfulfilled rights. Poverty, vulnerability and exclusion are manifestations of the **lack of capacities** within families, communities and government to fulfil children’s rights²¹. Non-acceptance of responsibility or failed leadership are also elements of missing capacities.

As shown in the diagram, the Human Rights perspective helps to map different but related ‘participation roles’ of children and young people. Five broad areas of participation follow:

- *identifying unfulfilled rights:* participation in establishing the existence and magnitude of a problem and analysing its causes; participation in research,
- *claiming of rights:* demanding the attention of decision makers; advocating; petitioning,
- *identifying solutions and duties:* negotiating; making or improving plans,
- *participating in implementing the solution:* fulfilling a role; becoming an actor,
- *monitoring, evaluating and reporting* progress in the implementation of plans and commitments.

A Situation Analysis should aim to identify the participation gaps (e.g. major areas of the above continuum where children and young people are not able to exercise their participation rights). Strategies, tactics and initial entry points to get participatory practices off the ground should be considered when developing the programme strategy (and Country Programme Document), and in MTRs. It may be difficult to achieve significant participation simultaneously in all aspects of this continuum, at least at first.

²¹ ref. PPP Manual, Chapter 2, Section 1



4. Promoting Meaningful Participation in Local and National Development

When people examine problems together and agree on the causes, they are more likely to agree on the actions to resolve them (*ExDir 1998-04*)

Applying the above framework, this section suggests methods, opportunities and challenges for assisting children and young people to influence local or national development.

Three considerations are central in each of these efforts:

- a) *The creation of specific opportunities for participation*, which can be offered through events or processes (e.g. the preparation of a National or Municipal Plan of Action).
- b) *The strengthening of capacities of citizens and children*, including: their organisational capacities; fostering of collective as well as individual action at home, in school and in their communities; and the building and use of supportive networks and partnerships.
- c) *The creation of wider enabling conditions* through supportive policies, laws, and practices, and preparing adults for accepting and promoting participation of children. It often may not be the young people who need such preparation (e.g. orientation and training), but officials or service providers who fail to consider the rights of service users and students and fail to facilitate their participation.

Promoting Participatory Assessment and Analysis

There is an abundance of literature on participatory methods (e.g. participatory rural appraisals, ranking exercises, etc) that programme staff should be aware of. A selective list of reference materials is included in Section 7. Some trade-off between statistical accuracy and children’s participation may have to be made in the use of such methods.

UNICEF Country Offices should consider to:

- Advocate for and help organise client surveys or opinion polls among children and young people - as part of major national survey or review exercises, including PRS or sector reform programmes, and when preparing SITANs or CCAs²².
- Advocate with national research institutions and government agencies to adopt participatory research methods²³, based on ethical principles.
- Facilitate the involvement of children and young people as right-holders in the design and implementation of national or localised surveys and survey questions²⁴. This may require additional expenses for training them as enumerators²⁵. High school or university students can be invited to assist in surveys during school vacations, or as part of school projects.
- Help design surveys for children and young people that not only assess the magnitude of a problem, but also uncover immediate and underlying (e.g. gender-differentiated) causes.
- Help ensure that analyses of a problem, problem trees, and planning assumptions are validated by those affected and that consensus between children, communities, researchers and programme planners is achieved.
- Help facilitate presentations by children at consensus or dissemination workshops.
- Help disseminate the findings of assessments done by children and young people.
- Make sure that findings of surveys and research are shared with those who participated, and are actually used by decision makers and programme planners.
- Consider inviting able and willing young people to be trained in computerised data management, to improve local ownership of data²⁶.

“Information is the currency that enables citizens to participate in the life and governance of a democratic society” (*Right to Information Movement Raiasthan*)

Encouraging the Claiming of Rights

The continuum of ‘claiming rights’ begins with speaking up at home. It continues with attending a meeting and making a point. It may involve petitioning, protesting and complaining through formal channels such as a district commissioner’s or Ombudsperson’s office. Claims gain more weight through collective action. Children’s and young peoples’ experiences may change the views of adults about the severity of a problem, and strengthen their commitment to discharge the resulting duties. Claiming of rights may be perceived as a threat to the existing order and resisted

²² See: <http://www.unicef.org/polls/>

²³ See, for instance, UNICEF’s [website for teachers](#), which includes ideas on how to involve children as researchers

²⁴ For example, prior to the preparation of municipal development plans, participatory surveys have been carried out on children’s use of their local environment, places that children value or fear, and the problems they face.

²⁵ This may be more feasible, at least initially, for localised, municipal or small-size surveys

²⁶ Many experiences - especially from nutrition growth monitoring and urban planning – point to the need for better local databases, especially if the groups not reached by services are to be identified, and the reasons for their exclusion. Local ownership of data conveys the message that development outcomes can be improved through concerted action by communities and local authorities.

by some officials.

Children and young people, especially those from marginalized groups may not know about their rights and entitlements, or the available channels for lodging a complaint. They may be intimidated by bureaucracy or the rhetoric of officials. Girls may be intimidated by boys. Children may be unaware that others face similar problems. Access to information about government plans, policies, resources and budgets is key to holding governments accountable. Country Offices should consider ways of *strengthening the capacity* of children and young people to claim their rights by, for example:

- Publicising popular or additional language versions of their rights or entitlements as provided for in national legislation, policies and international conventions.
- Helping to explain how government works, and how to contact the right people.
- Supporting civic education or training courses for CBOs or NGOs involved with young people on how to present their concerns to decision makers.
- Helping CBOs, NGOs or interest groups (e.g. women's groups) to form associations and networks, by clarifying procedures or providing start-up resources.
- Supporting youth organisations to participate in regional networks.
- Helping to upgrade presentation and negotiation skills – without undermining the authenticity of content or style – to increase the effectiveness of a presentation²⁷.
- Advocating for special provisions for groups of children and young people who find it more difficult to speak to government (e.g. children in remote areas, children caught up in conflict, orphaned children, girls).
- Supporting meaningful participation at national or international conferences²⁸.

Country Offices can help to provide an *enabling policy and social service environment* that encourages interaction between the government and children, by:

- Encouraging the development of social sector policies that emphasize the accountabilities of service providers to the people they serve.
- Encouraging the publication, in widely understandable form, of national policies, programmes, plans and budgets.
- Helping to increase the transparency of decision-making (e.g. in local authorities, public hearings) and accessibility of officials and decision-making bodies.
- Asking service providers to publish their organisational structures and clients' rights.
- Asking national or local authorities and service providers to set up and publicise complaint and redress procedures that are fully accessible to children and young people.
- Strengthening information systems that collect and report on the views of their young clients.
- Helping to institutionalise co-management of social services by young people (e.g. co-management of youth centres).
- Helping to establish direct channels of communication (e.g. children's phone hot lines).
- Supporting the establishment of institutions for defending children's and women's rights (e.g. Ombudsperson's office, National Children's Council, professional networks).

²⁷ Many modern school curricula include training in presentation and public speaking

²⁸ Detailed step-by-step guidance can be found in Lansdown, G: Promoting Children's Participation in Democratic Decision-Making, and [CIDA: Meaningful Youth participation at conferences](#) . Also see [SOWCR](#), 2003

A vibrant, independent and well-informed media can set the terms of public debate. In some countries, young journalists are taking the lead in bringing concerns of children and young people to the public arena. Many UNICEF offices have worked with radio/TV stations or print media to provide a platform for public dialogue²⁹ and interaction. Country Offices can *facilitate public debate* on the status of the rights of children, women, and the poor by:

- Supporting the media on research and reporting on the situation of children and women, by providing information on national and international norms and standards, and the obligations of government arising from international conventions or declarations.
- Training young media practitioners, and pointing out areas that need media attention.
- Encouraging discussion with and among children in audio-visual or print media, or schools (e.g. call-in-shows, essay contests, competitions, interviews).
- Supporting young people to conduct media analyses (e.g. on reporting on issues of concern to children, analysis of whose point of view is reflected, gender bias).
- Assisting associations or NGOs in publicizing the views of children (e.g. Straight Talk magazines for prevention of HIV/AIDS).
- Encouraging opportunities for public debate with children and young people during policy making events and processes (e.g. through children's parliaments, or children's councils³⁰).
- Facilitate a fair hearing of divergent views, including those expressed by children, in public meetings, conferences, and consultations (including the Strategy and MTR meetings for the UNICEF-assisted Country Programme). All of these activities should always be conducted in an ethical way, in accordance with CRC principles, in particular the best interests of the child and the right to privacy of children.

Where an adequate legal framework exists, it might be possible to claim a right through legal action. Country Offices should consider strengthening the *national legal framework*, by

- Helping to review and revise national legislation in accordance with the CRC and other international conventions.
- Helping to make public, in a form easily understood by children, laws and legal procedures related to the rights of children and women.
- Strengthening legal aid for children and young people, especially those who are poor.

Promoting Participation in Local or National Planning Exercises, including NPAs

Children and young people can help to ensure that international commitments, such as those arising from the SSC and described in the WFFC document are either clearly mainstreamed in National Development Plans and policies, PRS or sector plans, and/or pursued through preparation of an NPA for Children³¹. Children and young people should be consulted –including in post-conflict recovery efforts - on the choice of competing priorities for the use of resources and for the design of plans and policies affecting them.

Country Offices can promote participation in *planning exercises* by:

²⁹ The *Young People's Media Network* (YPMN) connects youth media organisations (www.unicef.org/magic). Also see [Voices of Youth](#)

³⁰ UNICEF: Children and Youth Parliaments (unpublished, Adolescent Development and Participation Unit)

³¹ See [ExDir/2002-19](#)

- advocating for the involvement of children and young people, in the preparation or revision of national, district, local or municipal development plans and budgets (see box).
- advocating for the institutionalising of such consultative processes.
- proposing to Government specific options for the involvement of children, such as: public hearings; polls, or ranking exercises³²; setting up reference groups or Children’s Councils³³; adoption of participatory planning methods (e.g. VIPP).
- providing information on the outcome and commitments of the SSC, also to the media.
- explaining the process for the development of an NPA, including its timing, where inputs are required, who is going to review it, and how the final plan will be approved.
- helping to clarify to participants the planning parameters, and available options. For instance, with a fixed education budget, the chances to dramatically increase the rate of new classroom construction are limited³⁴.
- summarizing key issues of draft plans in easy-to-understand language, and help to identify the critical choices of the plan where the opinions of children and young people can make a difference.
- helping children to formulate their inputs and contributions.
- promoting a balanced view, and - by recalling human rights principles - guarding against discriminatory recommendations by privileged groups of children and young people.
- putting anecdotal evidence, both enthusiastic and negative, into the context of research findings and global experience and standards.
- providing public visibility for the participation of children and young people.
- encouraging the concurrent or subsequent preparation of decentralized or local action plans that provide for even greater involvement of children.
- considering to facilitate the preparation of ‘alternative’ NPAs to show what children and young people think should happen.
- promoting the clear and explicit integration of the priorities and targets of NPAs and sub-national plans for children within other planning instruments such as PRS and SWAps.

Participatory budgeting in Brazil:

- The “Child Budget” initiative allows expenditure monitoring at the federal level according to different criteria (e.g. institution, budget category). UNICEF supports the dissemination of analytical budget information.
- “Participatory local budgeting”, where elected leaders allocate a share of the local development budget to priorities identified by their constituents. UNICEF provides orientation materials to Counsellors, NGOs and children to help them understand the budget process.
- “Children’s Participatory Budget Councils”, established by some municipalities, have at their disposal a small portion of the municipal budget.

See “Children’s participation in the governance and municipal budget...” by E. Guerra, in Environment and Urbanization, Volume 14, No2, October 2002

³² Polls or other rapid surveys are good mechanisms to obtain inputs and feedback from a large number of children and young people. See: <http://www.unicef.org/polls/>. The *Say Yes* campaign also helped to establish a global ranking of children’s priorities

³³ There are a number of good examples where advisory councils have been used by municipalities. See *Environment and Urbanization: Building better cities with children and youth, Volume 14 No.2, October 2002*

³⁴ Alternatives such as increasing teacher training and learning materials – and the use of lower cost construction designs – should be discussed. There is also the option to increase the overall budget for primary education, reduce expenditure in higher education, and or to raise certain taxes.

UNICEF Offices have a responsibility to help ensure that sound planning standards are followed in participatory planning (e.g. setting SMART objectives; identification of actors; matching required resources with available budgets). Offices should promote plans that are consistent with Human Rights principles, and have objectives that take into account the MDG's, and MTSP targets, as appropriate.

Facilitating Responsible Citizenship and Social Engagement

Participation in local or national *governance structures* related to basic services for children and young people (e.g. school councils, health centre management committee) is likely to increase the user-friendliness and effectiveness of the service. UNICEF offices can help to:

- Influence national or sector policies that establish participatory management or oversight bodies as statutory requirements, or establish advisory councils.
- Inform the children and young people of the existence and purpose of these management bodies and the accountability structure.
- Review the policies or regulation of management committees to ensure representation of young people, girls and boys, and that minority positions get a fair hearing.
- Prepare briefing materials explaining the functions of management committees and the expected role of its members, and train young members on their responsibilities (e.g. training of student members on the roles and functions of school boards). Such orientation for new members could become a regular part of this committee work.
- Establish and support information and coordination networks (e.g. annual meeting of student representatives on school management committees).
- Advocate for lines in municipal, district or sector budgets to support participatory initiatives.

UNICEF assisted programmes can also help to create *enabling policies* that encourage the establishment of community based organisations³⁵ (e.g. an adolescent performance group) or self-help schemes (e.g. big sister/big brother movements). Programmes can advance the sustainability, quality, and outreach of such local initiatives by helping to ensure that:

- Subsidies are made available under specified and transparent conditions (e.g. providing training to aspiring theatre groups if they disseminate HIV/AIDS prevention messages)
- Individual groups are linked by (national or even international) networks to facilitate exchange of information and representation at policy-making bodies or events.
- Recognition is provided to active young people through access to training opportunities, and by providing support through promotional materials or annual meetings.

Child Friendly Services and Safe Spaces are rapidly emerging concepts. Being “child-friendly” or “youth-friendly”, a service will not only improve and attract more clients (e.g. fewer children dropping out from *child-friendly schools*), but is meant to improve interaction between children

³⁵ In this context, “community based” solutions denote programmes or decisions that can be taken without recourse to higher level of government/authorities, although some support could be provided from those. For instance, groups of young people can come together to organise local sports, entertainment, outdoor or educational activities, but may continue working together to obtain subsidies from the provincial or national level. Furthermore, ‘community based’ does not have to denote a local project, but can imply a national policy that provides for community decisions on the use of locally-available or nationally-provided resources or services. Finally, participation in the management of a service should not necessarily be equated with voluntarism.

and service providers or decision makers. The Child Friendly Cities³⁶ movement abounds with examples where municipalities try to ensure that children and young people feel welcome and safe in their neighbourhoods and public spaces³⁷. Common to most approaches is that the criteria for “friendliness” are developed together with children and young people, that children and young people assess the actual friendliness of a service, and that some public recognition is given to institutions or cities which meet the criteria (e.g. a Seal of Approval). Safe spaces for children or women have been successfully negotiated in conflict situations.

Participation in Monitoring and Evaluating Progress, and Reporting

Participation in monitoring and evaluating the progress of local or national development, or monitoring government action in relation to plans and election promises – and holding officials accountable – is the essence of a democratic society. Programmes can support such processes by:

- Advocating for national, local or municipal plans, budgets, expected standards of services and improvements in indicators to be made public in simplified, popular versions.
- Supporting the media to ‘explain’ the agreed international norms and standards and the intentions of government plans or officials, and to periodically report on progress.
- Helping to build mechanisms for local monitoring of development and human rights indicators (e.g. school performance, gender gaps, cases of abuse and neglect).
- Helping to organise special events (e.g. ‘monitoring days’).
- Suggesting participation of young people in the review of national or local development plans, or suggesting other mechanisms to allow feedback to local and national authorities.
- Supporting Civil Society Organisations working with children to contribute to reviews or prepare their own reports
- Advocating for the institutionalised involvement of children and young people in the preparation of the country report on CRC and CEDAW implementation.
- Helping to disseminate CRC country reports, and the observations of the CRC Committee.
- Inviting children to contribute to the design of evaluation questions, select respondents, and participate themselves in the evaluation.
- Sharing and discussing evaluation findings with young participants.

5. Identifying Entry Points for Increased Participation

Where do we find children and young people ready and willing to participate in the preparation of a NPA? This section briefly discusses *where to go* when trying to solicit participation, and how a programme or project can interact with children and young people, including those from marginalized groups.

It is often possible to use local structures, institutions or governance bodies to invite increased participation of children and young people and in doing so, help to transform their practices. Creating new fora for consultations or interaction often creates considerable costs, which should be estimated and understood at the outset. Different mechanisms may need to be considered for different age groups.

³⁶ Visit www.childfriendlycities.org, and the “Growing Up In Cities” Initiative, www.unesco.org/most/growing.htm

³⁷ See for example: Environment and Urbanization: Building better cities with children and youth, Volume 14 No.2, Oct 2002

Local spheres (household, school, workplace) are most often relevant to and effective for children's and young people's concerns. For a student, the opportunity to participate meaningfully in the school council throughout the school year may have greater impact on her life than a two-day conference on citizenship in the capital city or abroad.

The following list of institutions, venues or mechanisms points to the kind of entry points that Country Offices should keep in mind. Offices can also investigate other organizations or systems that may invite children and young people to participate in a specific programmatic context.

- Schools are an obvious entry point. Education authorities may be reluctant to adjust the curriculum or change teaching schedules, but the local school is an accepted venue, and school-based clubs are popular mechanisms for extra-curricular activities. School counsellors or mentors are often willing to facilitate. There is a risk of excluding out-of-school youth.
- Student unions and similar organisations have been at the forefront of political change in some countries. Most frequently, they open the way for participation in school governance³⁸. Many student bodies are engaging in HIV/AIDS prevention campaigns, and their involvement could, for instance, help in closing gender gaps and in the prevention of child abuse and neglect.
- Youth organisations can be important for involving out-of-school adolescents. Also consider juvenile justice and youth-serving organisations.
- NGOs, CBOs or associations may be able to reach children and young people in large numbers, including out-of-school children³⁹.
- Children's Parliaments⁴⁰ are often organized around annual or biannual events, are closely organized with schools and have an educational character. In few cases they have formal consultative status with Governments.
- Statutory Committees such as school boards, health and village development committees can be transformed to include representation of children and young people. Youth centres, or 'drop-in' centres can be co-managed by young people.
- Sports clubs, girls and boy scouts, theatre or music-groups are often well established in the community, have good outreach, and appreciate the introduction of new themes for discussion (e.g. AIDS clubs can pick up on gender-based violence or substance abuse).
- Advisory Councils (Children's Councils) have been formally established as a reference group in some local development processes.

<p>Criteria for selecting the most appropriate entry points</p> <ul style="list-style-type: none"> • potential to engage a significant number of participants (not small or only elite groups) • adequate equity or diversity • significant long term impact on the day to day aspects of children's life • maximal opportunity for influencing decision making • comparative strength of the UNICEF office or counterpart • existence and priorities of operational partners.

6. *Participation in UNICEF Assisted Programmes: Additional Issues*

³⁸ See <http://www.schoolcouncils.org>, on information on how to set up school councils and run them effectively

³⁹ Emerging movements are usually more difficult to spot and require considerable support to get them off the ground.

⁴⁰ The CEE/CIS RO (or provide here) has an inventory of youth parliaments or other national youth fora, also see [SOWCR 2003](#)

This section reviews additional issues related to participation within the context of planning and implementing a UNICEF assisted programme⁴¹.

Global experience emphasises that participation should start with the planning of a programme and continue throughout implementation, monitoring, and evaluation. At the same time, no mistake should be made about the additional time, staff and financial costs of participatory programming.

Who participates where? Children and young people do not normally think or live in projects and programmes. They want to solve problems, want to get better organised, and want their leaders and Government to make improvements. **Development agencies participate** in the interaction between people and their governments. UNICEF assisted programmes must relate to children's life, injecting ideas, technical knowledge or material inputs. The costs of participation must be appropriate to the benefit, as perceived by the young person. Several pointers follow for managing UNICEF assisted programmes:

During preparation of the Situation Analysis and CCA:

- Has a Situation Analysis or the CCA confirmed that the children and young people perceive the problem with the same urgency as UNICEF and/or Government? (E.g. do out-of-school children prefer to complete their education?)
- Has the analysis identified the lack of participation as a cause of the problem – and the barriers to participation?
- Has the analysis not only identified children's and young people's understanding of a problem or situation, but also mapped their strengths and opportunities for participation?
- Have affected children and young people validated the assessment and causal analysis, or the findings of the CCA?

During UNDAF and strategy development⁴²:

- Do children and young people of the affected population group have the opportunity to influence the setting of priorities and objectives, so that they correspond to their specific problem?
- Is full consideration given to programme strategies that create communication channels between children and government authorities, and help to provide sufficient weight to their voice in the preparation of local, district or national development plans?

During programme design and annual planning:

- Does the programme establish clear accountabilities at all levels (affected children, local/national authorities, policy makers, UNICEF Country Office)?
- Is there a clear plan for how children and young people will be supported (e.g. assistance to form their own organisation, training, access to information)?
- Is it clear that the recommended participatory approaches will not shift excessive costs, responsibilities, or workload on young people, especially those from poor families?

⁴¹ The adoption of participatory approaches in UNICEF assisted programmes is not a panacea, and does not make other approaches unnecessary. Participation may not resolve structural problems (e.g. macroeconomic arrangements, institutional discrimination, absence of peace). It may not always be the dominant approach. The costs and benefits of different strategies and approaches should be assessed.

⁴² If it is planned to invite young people to large meetings, review step-by-step guidance provided by Lansdown, G: Promoting Children's Participation in Democratic Decision-Making, or [CIDA: Meaningful Youth participation at conferences](#)

During Reviews and Evaluations:

- Do periodic reviews, including annual reviews focus on progress in relation to the solution expected by children?
- Do affected young people have the opportunity to formulate MTR or evaluation questions and to participate in collecting and analysing information?
- Have indicators reflecting process and the perception of children been added to those used in the IMEP (but not replaced traditional quantitative indicators reflecting a change in the situation or service provision)?
- Does the evaluation and its dissemination allow for children and young people to learn about the effect of their views on the design of the programme?

If ongoing participation of children, and young people is envisaged **throughout** the Country Programme, a formal process and management structure should be considered. A Children's Advisory Committee (or Youth Advisory Board, etc.) could accompany the programme preparation and implementation process, making inputs into milestone meetings and documents. Offices need to assist in pointing out the critical decision points for deliberation by the Committee, and present the documentation in age-appropriate language.

Promotion of participation of children and young people requires supportive adults and skilled facilitators. They can be officials (e.g. within a Ministry, the Mayor's office), media practitioners, artists⁴³, educational experts, or NGOs⁴⁴ specialised in participatory approaches. Orientation and training in participatory methodologies and giving due attention to the views of children may be required - also for UNICEF staff.

Global experience in seeking increased participation in UNICEF assisted programmes also underline the following *good practices*:

- The description of participatory approaches, and the scope of decisions that can be taken in a participatory way should be detailed in relevant work plans (e.g. the work plan of programme preparation and AWP). Extra time needs to be planned for participatory consultations.
- Financial and human resource implications of the proposed participatory methods should be assessed, and budgets be allocated for the entire process before starting.
- The criteria and methods for selecting child participants should be justified, transparent, and protect against unintentional bias (e.g. children living near the capital, children who speak fluent English). Participating young people would be expected, where possible, to have a mandate from their constituency (e.g. community, age cohort, profession).
- Raising undue expectations should be avoided. Partners must be transparent about the degree of flexibility in objective setting, timeframes and implementation modalities.
- To the extent possible, children and young people should be invited to set the terms for their participation (e.g. timing and place of consultations, composition of working groups). Practical difficulties should be considered, paying attention to the different situations of poor and better-off children, and the different situations of girls and boys.
- Children or young people should not be trained to behave like adults. Adult procedures should be changed where necessary.

⁴³ Celebrities can add momentum when facilitating children's participation in local or national consultations and events.

⁴⁴ Many NGOs, especially the [SCF Alliance](#), are breaking ground in promoting child participation and the [GMC](#)

- The Country Office should present itself as mediator, not implementing agency. Direct interaction with children must not shortcut the regular (formal) process for claiming rights.
- Event-based approaches run the risk of creating “child professionals” - the same children get invited to most events. Such approaches need to be complemented by the institutionalisation of participation of children from a cross-section of society.
- Goals and indicators need to be set for the quality of and equity in participation⁴⁵.

Participatory approaches may be *piloted*, tested and refined through a UNICEF assisted programme or project. To avoid such pilots continuing for several years without a clear exit strategy, the programme should have the “adoption of participatory methodology” by local or national government as an explicit objective, which can be later evaluated.

Children and young people can also significantly contribute to specific products (e.g. a life skills curriculum design, content or format of a child protection media campaign). The standards and principles described in this section will also apply in these cases.

Annex: Annotated List of Further Reading and websites:

UNICEF papers can be accessed on line or by contacting UNICEF Programme Division or Division of Policy and Planning, or the documentation unit. Most books are also available at the HQ Library, or can be found at online bookstores.

- *Bainvel, Bertrand: The Thin Red Line – youth participation in human-made crises, UNICEF discussion paper, 2002* (discusses the opportunities and limitations to youth participation in conflict situation, based on experiences on the Balkan and the Middle East)
- *Chambers, Robert: Whose Reality Counts? Putting the first last, Intermediate Technology 1997.* Chambers is an influential proponent of participatory development. The book explains how professionals often misunderstand the reality of the poor, and describes the techniques of participatory rural (or relaxed) appraisal (PRA).
- *CIDA (with UNICEF): Meaningful Youth Participation in International Conference:* An analysis of how the participation of young people was facilitated at the high level conference on war-affected children. Includes guidelines and suggestions.
- *de Waal, Alex and Nicolas Argenti (editors): Young Africa, Africa World Press, Inc. 2002* (contains several articles discussing the understanding of ‘youth’ in Africa, urgent problems affecting young Africans, and their historic and potential roles as agents of change)
- *Driskell, David: Creating Better Cities with Children and Youth – A Manual for Participation, UNESCO Publishing, 2002* (Very much in the line of Roger Hart’s classic, and equally detailed and full with practical advice, this is very much recommended for urban planners)
- *Environment and Urbanization: Building better cities with children and youth, Volume 14 No.2, October 2002* (a compendium of examples on participatory urban planning, including the concepts of Child Friendly Cities and the Growing Up In Cities initiative). Distributed to all offices. Also available (at cost) at <http://www.iied.org/human/pubs.html>,
- *Friedman, Sara Ann: Bridging the Gap between Rhetoric & Reality, UNICEF, 2001* (a review of lessons learned from UNICEF assisted programmes and projects seeking community participation)
- *Hart, Roger: Children’s Participation, Earthscan/UNICEF, London* (with a slant towards participation in community development and environmental care, the book is still a must for the programmer who is seriously interested in theory and practice of encouraging child participation. Describes the “ladder of participation”)
- *Lansdown, Gerison: Promoting Children’s Participation in Democratic Decision-Making, UNICEF Innocenti Insight, Florence, Italy, February 2001, also in French and Italian* (includes a wide variety of annotated description of projects aimed at increasing children’s participation, including a step by step guide on facilitating youth participation in conferences)

⁴⁵ The Adolescent Development and Participation Unit is presently working to test indicators and tools to measure participation.

- *Save the Children: [Shaping a Country's Future](#), National Plans of Action for Children – Involving Children and Young People in their development, 2002* (A guide for practitioners primarily from the NGO community intending to involve children in the drafting of National Plans of Action).
- *UNICEF: Children and Youth Parliaments* (unpublished, Adolescent Development and Participation Unit)(A summary of the work of 70+ country offices in support of children and youth parliaments as reported in the 2001 Annual reports)
- *UNICEF: [Evaluation Technical Notes](#), Children Participating in Research, Monitoring and Evaluation, April 2002* (while directed primarily at researchers or M&E Officers, the notes offer advice and checklists to all programme staff on ethical considerations when seeking to increase participation of children in programmes)
- *UNICEF: Implementation Handbook for the CRC, 1998.* (A detailed analysis of CRC Committee's interpretation of the implementation of the articles of the CRC, with many examples of countries' efforts to promote child participation)
- *UNICEF: Lessons Learned, Suggestions and Guidelines on Children's Participation in International Conferences* (unpublished, Adolescent Development and Participation Unit)
- *UNICEF Operational Guidance Note on the Mid Term Strategic Plan ([Exdir 2002-29](#))*
- *UNICEF, Operationalization of the Human Rights Based Approach to Programming in ESARO, August 2002* (a description of the application of the human rights based approach to programming, developed by UNICEF in Eastern and Southern Africa, emphasizing community capacity development)
- *UNICEF: [SOWCR, 2003](#)* (UNICEF's Flagship publication recalling lessons from children's involvement in the preparation and running of the UN Special Session on Children, also includes list of CRC Articles referring to child participation)
- *UNICEF: The Young Face of NEPAD, September 2002* (Position paper emphasizing the attention to – and the role of – children and young people in the New Partnership for Africa)
- *UNICEF staff working papers: Partnerships with Local Governments and Communities November 2001* (reviews experiences of Child Friendly Cities, with a focus on decentralized, local situation assessment and planning)
- *UNICEF staff working papers: [The Participation Rights of Adolescents](#), August 2001* (Based on an extensive literature review, the paper sums up a range of principles and strategies to promote participation of adolescents)
- *UNICEF staff working papers: World Summit for Children-Inspired Programmes of Action for Children in the 1990, 2002* (reviewing lessons from the preparation and implementation of National Plans of Action, following the WSC 1990)
- *UNICEF: [Working for and with Adolescents](#), February 2002.* Presents the experience of 22 UNICEF offices in working with and for young people.
- *UNICEF: UNICEF's Experience Working with Young People, May 1999* (based on the analysis of Country Office Annual Reports of 1997, the paper provides an overview of the extent of adolescent participation in UNICEF assisted programmes at the time.)
- *[United Nations: Millennium Declaration](#) and Millennium Development Goals*
- *[United Nations: A World fit for Children](#),*
- *World Bank, Participation Sourcebook, 1996, see www.worldbank.org/wbi/sourcebook/sbhome.html,* (Contains about 20 case descriptions, plus chapters on Pointers in Participatory Planning and Decision-making, Pointers in Enabling the Poor to Participate, and an overview of participatory methods and tools)

Useful websites/pages:

- http://www.unicef.org/specialsession/child_participation/index.html, on children's participation at the Special session and related links
- <http://www.unicef.org/polls/>, information on large scale polls among children in East Asia and the Pacific, Europe and Central Asia, and Latin America and the Caribbean
- <http://www.unicef.org/voy/>, the Voice of the Youth homepage
- www.unicef.org/magic for media initiatives aimed involving young people
- <http://www.unicef-icdc.org/>
- <http://www.unicef.org/teachers/> UNICEF's website for teachers includes ideas on how to involve children as researchers, and child-friendly schools
- www.worldbank.org/participation/ World Bank site on participation and civic engagement, with direct links to sources on participatory tools methods
- <http://www.ids.ac.uk/ids/>, the Institute for Development Studies, Sussex is one of the leading centres for research and teaching on participatory development

- www.childfriendlycities.org for ideas on participatory urban planning
- www.unesco.org/most/growing.htm for the “Growing Up In Cities” Initiative
- <http://www.savethechildren.net/homepage/>, home page of the Save the Children Alliance
- www.oxfam.org/eng/ OXFAM’s website includes a page on the International Youth Parliament
- www.ncb.org.uk/resources Site of the UK National Children’s Bureau, for free downloads of a wide variety of books and papers on children’s participation
- www.ids.ac.uk/ids/ homepage of the Institute of Development Studies, Sussex, a leading centre for research and teaching on international development, includes a page on participatory approaches.
- <http://www.schoolcouncils.org>, A site with information on how to set up and run school councils

Section 16: Procurement Services

Introduction

UNICEF offers Procurement Services to programme partners for activities which complement or form part of the UNICEF assisted Country Programme. For full details, refer to [CF/EXDIR/2000-003](#).

UNICEF, through the Procurement Service Facility can:

- Facilitate secure and expedient delivery of essential goods for children and women;
- Access goods at competitive costs;
- Access commodities that are in short supply, such as vaccines and anti-retroviral drugs;
- Assist governments which lack the capacity or experience to handle international procurement;
- Build national capacity for the provision of essential commodities to poor children and their communities;
- Provide relevant expertise and training in managing the national procurement system and supply chain.

Clients may also include other UN Agencies, International Financial Institutions and Non-Governmental Organizations.

The Procurement Services Facility is also well suited for emergencies and emergency preparedness, as well as countries in transition from emergencies to rehabilitation.

Full supply management package

The Procurement Services Centre at UNICEF Supply Division can offer a full supply management package in: Health and Nutrition; Education and Recreation; Supplies in Emergencies, especially vaccines; Cold Chain Equipment for Immunization Programmes; Essential Drugs; Medical Equipment and supplies; and Water and Sanitation. Substantial experience in procurement and delivery of antiretroviral drugs (including patent and regulatory issues) and malaria-related supplies has also been built up. Hence, Procurement Services can strategically assist in the implementation of grants from the Global Fund to fight AIDS, Tuberculosis and Malaria.

Expertise and Services in the Supply Chain

UNICEF Procurement Services can provide assistance in three areas of expertise:

Technical assistance services may cover, among others product needs assessment; product planning services; pre-shipment inspection; product assembly/ installation; maintenance; product use analysis; product monitoring; institutional capacity development.

Management services include the management of supply-related business transactions, such as warehouse management, project management and contract management.

In-country logistics services assist in the planning, implementation and control of an efficient, effective flow and storage of supplies and services from the Port of Entry to the final destination

(at household level) in the receiving country. They may cover in-country receipt; pre-clearance inspection; customs clearance; warehousing; local distribution; transport and delivery; review of the existing logistics system.

The Procurement Services Centre has knowledge and experience in dealing with multiple parties and countries; technical expertise; an integrated procurement system; long-term arrangements with suppliers; supply chain expertise, specialised accounting and reporting techniques; and electronic project management systems.

Where there is insufficient local capacity for in-country receipt or distribution of essential commodities (e.g. vaccines, items prone to theft), the government may designate UNICEF as the consignee.

The Procurement Services Operational Process

The use of Procurement Services follow the following steps:

- The customer plans the request with the Country Office
- Customer submits a request to Country Office that forwards it to SD. An on-line Registration Form is available at <http://www.unicef.org/supply/index.html>
- Customer and request are screened/evaluated and confirmed by Country Office and Procurement Service Centre
- Procurement Service Centre prepares a Cost Estimate (free of charge)
- Customer signs Memorandum of Understanding (MOU) with UNICEF
- Customer deposits funds with UNICEF
- Supply Division procures the supplies and services
- Supplies are delivered to the consignee / services are provided
- Procurement Services effect payment to supplier / freight forwarder
- A Financial Statement is prepared by UNICEF Supply Division
- Remaining buffer (10 % reserved for price and exchange rate fluctuations) is returned or reprogrammed.

Procurement Services as a collaborative effort

Procurement Services are a collaborative effort between Supply Division and the Country Office, with technical support of the Programme Division. Further information is available at http://www.unicef.org/supply/index_procurement_services.html

Section 17: Review and Assessment of Gender Mainstreaming

Purpose

Since 1994 UNICEF has committed itself to gender mainstreaming. Gender mainstreaming is a critically important element of the Human Rights based Approach to Programming⁴⁶.

Gender mainstreaming is a process for *achieving greater gender equality*⁴⁷. It implies bringing the findings of gendered socio-economic and policy analysis into all decision-making of the organisation, including decisions on core policy and day-to-day operations and support to programme implementation. It is about knowing how the Country Programme is likely to bring about more gender equality in the country. Above all, gender mainstreaming focuses on results – on tangible and lasting changes in society that reflect improvements in the enjoyment of human rights and gender equality.

According to ECOSOC (1997), gender mainstreaming is “*the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of design, implementation, monitoring and evaluation so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality*”.

All Country Representatives should plan to undertake an assessment and review of gender issues in the Country Programme (see CF/PD/PRO/2006-05 for details). The following tools can assist country offices in assessing and monitoring the extent of gender mainstreaming in the supported programme, against the yardstick of known commitments and good practices.

- *Document Review Checklist*, to ensure that cumulative and comparable data are derived from the reviews of available programme documentation.
- *Focus-Group Discussion Checklist*. This tool helps the Review and Assessment Team to tabulate issues in consultation with small groups of staff.
- *Gender Mainstreaming Capacity Self Assessment Checklist*, to assess one’s own or one’s unit’s level of gender competency.

The tools can be used in several ways, including at important programming milestones: as a component of the annual programme review or MTR, as part of the CCA/UNDAF process, to support an evaluation mission, to help prepare a gender mainstreaming strategy for the Country Office, and to identify capacity gaps of programme staff and, selectively, counterparts.

Preparation and Implementation of the Assessment

A *Review Team* should lead the assessment. Ideally, the team would include senior and junior staff and external - preferably national – facilitators. Regional Office or other Country Office staff

⁴⁶ Executive Directive 1998-04. A Human Rights Approach to UNICEF: programming for children and women

⁴⁷ UNICEF Executive Board 1994 E/ICEF/1994/L.5, para.13 and Executive Board Decision A/4 1994

may assist. A consultative assessment process can have a more powerful effect on CO performance than the findings of assessment report itself. The assessment team should:

- Possess good facilitation skills for internal and external consultations;
- Have expertise in gender mainstreaming;
- Have reasonable knowledge of the specific situation of girls and boys, women and men in the country, especially regarding their human rights and gender equality in the MTSP priority and MDG-related areas;
- Help in recording the results of the consultations.

The CMT should agree on the specific TORs and expected outputs of the assessment, and which tools will be used. The assessment will typically start with a desk-review, and continue with an introductory briefing meeting with all staff, followed by in-depth interviews around key issues identified in the desk review. This is followed by focus group discussions, data analysis, report drafting and exit meeting.

The Assessment Tools

The Document Review Checklist (Tool 1) assists in identifying:

- the extent of inclusion of gender equality considerations in the strategies and activities proposed or recorded in programme documentation
- The actual changes in women's and girls' position and conditions and lives, as reflected in the findings of Mid Term Reviews, Evaluations and Country Office Annual Reports.

The tool is used for the desk review of programme documentation, and when discussing with groups of staff the existence or lack of gender equality considerations in selected programmes. Documents for review include: The latest available SITAN, CCA (where available), UNDAF (where available), CPD, CPAP (or MPO if prepared before 2004), Annual Review reports, Country Office Annual Reports, Mid Term Review reports, Evaluations, donor reports, and any other key document concerned. When using the tool for reviews by groups of staff, it is advisable to include other staff than only those concerned with the particular programme.

The Focus Group Discussion Checklist (Tool 2) supports group discussion on how the Country Programme as a whole could better advance women's and girls' rights and gender equality, and how office structures and management practices (including external relations) support or inhibit the inclusion of these considerations in the programme. The checklist is used most effectively with groups of around six people, preferably from different programme and operational areas. It should be used – in different sessions - with as large a sample of office staff as possible. Not each question may require an answer, and the list can be used flexibly. It may be necessary to briefly review the definition of gender mainstreaming before beginning. Someone should record the key points and decisions. A minimum of three hours should be anticipated for each session.

The checklist can also be used as a questionnaire to be completed individually (staff should be assured that their responses will remain anonymous) and as the basis for in-depth interviews. It can also be used as part of a capacity development programme, and to periodically monitor progress.

The **Gender Mainstreaming Capacity Self Assessment Checklist** (Tool 3) is for completion by individual staff. While the ratings are subjective, the list will help to identify areas of variance between one's own assessed competency and the needed competency, or between one's own competency and the capacity of the functional unit. The major findings of the assessment should be discussed by the staff member with his/her supervisor. The Training Committee and/or the CMT should discuss the overall summary findings of all completed self-assessment checklists.

Finally, **in-depth interviews** may be held with key staff members to cross-check and validate information obtained through the tools, and to discuss any sensitive issues that cannot be brought up in broader fora. The MTSP Gender Mainstreaming Checklists might also assist⁴⁸. The interviews might address the following core issues:

- What are the administrative, institutional, legal, social, cultural and traditional obstacles to gender equality in the country?
- How does the programme consider the different capacities, needs and vulnerabilities of women, men, girls and boys?
- What barriers prevent women and girls from meaningful participation and involvement in decision-making?
- Are data and analysis disaggregated according to sex and age?
- Will the programme strengthen the capacities of partner institutions to promote gender equality?
- How are the different roles, strategies, responsibilities and options of women, men, girls and boys affected in unstable situations?
- Does the Country Office staff have the capacity, skills, resources and knowledge to address gender issues?

References

- CIDA (1996). *A Project Level Handbook: The Why and How of Gender-Sensitive Indicators*
- Commission on the Advancement of Women, (1999). *The Gender Audit: A Process for Organisational Self-Assessment and Action Planning*. Washington DC: InterAction.
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- UNDP, (undated). *UNDP Learning and Information Packs*. (<http://www.undp.org/gender/capacity>)
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- UNICEF, (undated). *An Objectives-based Model for UNICEF Operations Activities and Self Assessment Tools for Country Offices*. www.intranet.unicef.org.

⁴⁸ The checklists, and other resources for gender mainstreaming can be found on the webpages for each MTSP priority

Tool 1: DOCUMENT REVIEW CHECKLIST

Response Key

Y = Yes/Always

N = No/Never

P = Partially or Sometimes

T = To a great extent or Frequently

NA = Not applicable

D = Don't Know

Date:

Reviewer.....

Apply to all key documents of the Country Programme, or programme components, covering all five MTSP priorities. The review should cover all parts of the document. Descriptive answers may be used.

Document Review Checklist		
Complete list of programmes and projects	Programme A	Project 1
		Project 2
		Project 3
	Programme B	
Programme Background and Analysis		Response
<i>Data</i>		
Does the document include sex-disaggregated data throughout?		
Does the document use sex disaggregated language (women, men, girls, and boys)?		
Does the document provide baseline information on women's and girl's rights and gender equality?		
Does the document identify gaps in data disaggregation by sex, and gender analysis?		
Does the document incorporate a gender analysis to provide a sharper focus on people who are poor, and marginalized or vulnerable groups?		
Is the depth and focus of the gender analysis maintained throughout the strategy and activities?		
<i>Gender discrimination</i>		
Is gender discrimination identified and highlighted as an issue?		
Are governance processes reviewed in respect of possible gender based discrimination?		
Does the focus on women go beyond their role as mothers?		
Is there a special chapter on women and gender equality?		
Is the situation of the girl child specifically mentioned?		
Is attention given to the girl child beyond the area of girl's education?		
Programme Preparation and Programme Strategies		
To what extent have girls and boys, women and men been consulted about gender equality considerations in the situation analysis or proposed strategies?		
<i>HRBAP</i>		
Does the document use human rights language?		
Does the document make a reference to, and apply the Human Rights based Approach?		
Does the reference to the HRBAP incorporate/integrate women's rights and gender equality?		
<i>CEDAW</i>		

Is there a reference to CEDAW as a basis for UN's work?	
Is there a reference to engagement with and support to the national reporting of CEDAW process?	
Are the concluding observations of the CEDAW committee used in programming?	
<i>CRC</i>	
Is there a reference to CRC as a basis for UNICEF's work?	
Is there a reference to engagement with and support to the national reporting of CRC process?	
Are the concluding observations of the CRC committee used in programming?	
<i>Gender mainstreaming</i>	
Does the document refer to gender mainstreaming as a strategy?	
Is the reference to gender mainstreaming made separately, or as part of HRBAP?	
Does every programme area covered in the document include specific objectives related to gender equality?	
Does the document refer to tools for operationalizing gender mainstreaming?	
Has gender training been conducted/supported for: <ul style="list-style-type: none"> • Country Office Staff • UNCT • Partners/Government 	
Does the document use gender-sensitive indicators to monitor and evaluate progress?	
Planned results, Activities and Monitoring	
How well have outcomes related to gender-equality been translated into activities and outputs?	
What proportion of the project budget has been set aside for activities that are likely to have a positive impact on women's and girls' rights and/or gender equality?	
Does the programme or project include the collection and use of sex-disaggregated data?	
Does the programme or project seek to involve boys and men as partners in working for gender equality?	
Are monitoring tools used that are able to assess the differential impact of activities on women and men, girls and boys?	
Has the programme (or part of it) been evaluated according to its differential impact on girls and boys, women and men, or for changes in the relationships between them?	
Have the programme or project results had a positive impact on women's and girls rights and gender equality?	

Tool 2: FOCUS GROUP DISCUSSION CHECKLIST

A. General
Does a Country Programme (CP) strategy for gender mainstreaming exist?
Is the Gender Mainstreaming strategy operational?
Does the strategy include specific attention to involving boys and men in working for gender equality?
Does the strategy include mechanisms to identify and report upon results?
Is there an <u>effective</u> advisory group on gender equality issues (e.g. task force, steering committee, expert committee)?
Do all staff perceive the application of a gender mainstreaming approach as their responsibility?
Has a gender mainstreaming focal point function been designated, with TOR and reporting accountability?
Is senior management in CO committed to the policy on gender mainstreaming?
Are professional staff aware of, and can apply, UNICEF's policy on gender mainstreaming?
Are the linkages between HQ, RO and CO focal points strong, clear and mutually supportive?
B. Programming skills
Does management and staff understand the implications for their work of the following gender equality standards: <ul style="list-style-type: none"> • Executive Directive on the Human Rights-based Approach to Programming (EXDIR/1998-04) • UNICEF Mission Statement • UNICEF Gender Mainstreaming Policy (E/ICEF/1999-13)
Do management and staff understand the implications for their work of the provisions of the following global and national policy commitments: <ul style="list-style-type: none"> • Convention on the Rights of the Child • Convention on Elimination of All Forms of Discrimination against Women (CEDAW) • Beijing Platform for Action • Other regional and/or national commitments as relevant
C. On Programme Strategies and Results
Does the analysis of the selected development issues (and the latest SITAN and CCA) include gender analysis, taking into account disparities between girls, boys, women and men?
Does the programme support the analysis of data disaggregated by age, sex, geographical area and, if necessary, ethnicity?
Does the analysis of the issues to be addressed in various programmes include a clear analysis of the immediate and underlying causes of gender inequalities?
If the SITAN or CCA does not reflect a good gender analysis, what measures are being taken, or should be taken to fill the gaps?
What are the major goals of the National Development Plan (NDP) or PRS as they relate to gender equality and women's and girls' rights?
Does the NDP or the PRS address the rights of women and girls specifically?
What are the expected key results of the Country Programme in relation to the gender analysis?
Do the expected key results address the underlying causes of gender inequality?
Does the programme pursue strategies that are likely to change the condition and position of girls and boys, women and men? Does the programme pursue strategies that are likely to reduce or change stereotypical roles of and social relationships between the sexes?
To what extent are these strategies likely to reduce or eliminate disparities between girls and boys?

Does the programme address structural, institutional, administrative and legal obstacles to equality between girls and boys, women and men?
Will the programme enable girls and women to influence decisions that affect their lives and control of resources?
Does the programme engage in partnerships with women's groups, NGOs and civil society?
Do the strategies employed by different projects reflect an integrated approach, and are they mutually reinforcing?
Do the communication strategies used by the programme ensure the equal participation of girls, boys, women and men?
Are the supported activities fully consistent with the strategies to reduce gender discrimination and inequality?
D. Monitoring & Evaluation
Are the available baselines disaggregated by sex?
Is a monitoring system in place with qualitative and quantitative gender sensitive indicators for all programmes?
What efforts are taken to mainstream gender in the monitoring and evaluation work of staff and counterparts?
Are gender equality issues included in all review meetings?
Are there examples of review meetings, where dialogue on gender equality has influenced decisions and results?
E. External Relations
Is senior management aware of the gender mainstreaming policies of UNICEF's partners, especially donors?
Are the gender equality goals and commitments of the UN agencies, including UNICEF, discussed at inter-agency meetings?
Is joint action taken to coordinate gender equality mainstreaming efforts across UN agencies?
Do meetings with Government include coverage of gender equality related issues?
F. Staff Recruitment and Development
Do job descriptions and PER assignments reflect the need for competence in gender mainstreaming?
Are staff, including project staff, periodically briefed on gender equality issues, and have opportunities to discuss their significance?
Has training on gender mainstreaming/gender sensitization and integration of relevant gender equality issues been provided for Country Office staff and project partners?
Do TORs of consultants include competence in and commitment to working to advance women's and girls' rights and/or gender equality?
G. Critical Factors
What are the most critical factors promoting and constraining gender equality through a gender mainstreaming approach in the UNICEF country office and programme under review?
What are the principle opportunities for greater gender mainstreaming in the Country Programme?
What are the principle constraints to greater gender mainstreaming in the Country Programme?

Tool 3: GENDER MAINSTREAMING CAPACITY SELF ASSESSMENT FORM

Please rate your own and your unit's competency in gender mainstreaming, using this scale:

- (4) Capable enough to train, lead and guide others in this task – can manage the unexpected reliably, professionally
- (3) Able to undertake the task satisfactorily with minimum guidance – still needs occasional support, oversight
- (2) Able to undertake task partially, satisfactorily only if supervised by competent manager
- (1) Unable to undertake the task at this time, or perform meaningfully in this task on the job
- (0) Don't know

General Area of Competency	Own competencies		Unit's competencies	
	Current	Priority	Current	Priority
Able to identify and prioritise relevant gender equality concerns in programme development, including work planning, setting up of taskforces, preparation of TORs for consultants				
Able to identify gender inequalities in the design and review of statistical information; and identify and formulate gender inequalities as a cause of unmet children's and women's rights (also when preparing SITANs and CCAs)				
Able to advocate effectively for the inclusion of gender equality issues in programme formulation, internally and with programme partners (also during UNDAF and CPAP preparation)				
Able to formulate specific results related to a reduction of gender inequality, as expected from programme cooperation				
Able to contribute gender equality information and analysis to national policy development, including PRS				
Able to ensure the inclusion of gender equality concerns in support to programme implementation				
Able to consistently sensitise programme partners and colleagues on gender equality concerns, in meetings and professional exchange				
Able to discuss and promote relevant gender equality issues in conferences, workshops, press conferences, media events and official functions				
Able to consistently use gender-sensitive indicators to monitor and track changes in programme process and gender relations				
Able to support gender-sensitive programme evaluation				
Able to prepare and conduct gender mainstreaming training and briefing sessions for both male and female colleagues				
Total				

The maximum total score in each column is 44 points. Discuss your ratings and a possible capacity strengthening plan with your supervisor, focusing on those competencies with major variances between own capacity and the capacity of your functional unit, or between the current and the needed competency levels.

Section 18: Pilot Projects

Background

1. Pilot projects are activities designed to test the feasibility and/or the effectiveness of an intervention. Piloting is a significant strategy for UNICEF programme cooperation, especially where UNICEF resources are limited and small compared to national budgets or resources provided by bilaterals or IFIs. It is often UNICEF's niche to test strategies and interventions for replication within the context of SWAps and PRS.
2. Pilot projects are a specific type of "demonstration project". A majority of UNICEF cooperation in many countries is concerned with developing and demonstrating innovative interventions for children or new (or modified) management models. Pilot projects add value within the overall demonstration strategy in selected cases by their explicit attention to documenting and measuring progress and results. While more costly in terms of planning and resource inputs, the outputs of pilot testing can contribute more convincingly to knowledge generation, technical discussions and advocacy.
3. Many UNICEF-assisted Country Programmes support pilot projects for several years, without an apparent end or clearly defined result. Programme partners may find it difficult to terminate such projects because of the benefits for the served community. Perceivably successful pilot projects are often not replicated – either because of the lack of political will, or the lack of resources. The question of “How to scale up?” can often not be effectively answered by Government, UNICEF staff or other partners. Such larger managerial dilemmas can be avoided by better formulated pilot project designs.
4. This section highlights special considerations when designing and providing support to the implementation of pilot projects or programmes.

The Purpose of a Pilot Project

5. The purpose of virtually all pilot projects is the testing out of a particular strategy, hypothesis, or model intervention. Assuming that the pilot project will be completed and demonstrates successful results with reasonable efforts and costs, the tested interventions are then proposed for wider application – as a nationwide policy or programme, or for a particular geographic region, or among particular population groups.
6. Most often a pilot project can be classified as a research project, and should hence satisfy the quality criteria for scientific social research. Among others, a pilot can take the form of:
 - a feasibility study (e.g. the acceptance and use of a particular latrine design by certain groups of people). Feasibility may have to be tested in relation to technical, political, social/cultural, legal or cost aspects of a proposed intervention;
 - studying on a limited scale the effect of a policy (e.g. the introduction or abolition of user fees);
 - researching the effectiveness of an intervention (e.g. testing the effect of a peer education initiative);

- testing an assumption (e.g. that teachers will apply what they have been trained in; or that caretakers will bring the child to a facility under certain conditions).

7. A pilot project will always generate findings, either positive (e.g. the interventions achieve the projected results) or negative (e.g. the tested interventions have only a limited effect, or the intervention is not feasible, is too costly, or has negative side-effects).

8. Experience from similar pilot may be accumulated in several countries, helping to bring out broader generalizations and lessons, provided that the findings of the pilot programmes are clearly positioned within a description of their programming context. Country Offices should therefore signal planned or current pilot projects to the Regional Office and the appropriate Technical Cluster in PD, for identification of such families of pilot projects, and to enhance mutual learning and improvement among the countries concerned.

9. In many cases, a pilot project may be donor funded. There might be opportunities for building linkages with research institutions in the donor countries. In other cases, pilot projects across several countries might be financed from Regional or Global funds (e.g. Low Birth Weight Studies).

Formulating the Planned results of a Pilot Project

10. For each pilot project, two different levels of results must be distinguished:

- The proof that the model intervention has the expected effect (e.g. the proposed design of the latrine is acceptable to the local population, and affordable, or; awareness about HIV prevention increases as a result of the peer education programme);
- The adoption of the model intervention – where positive in effect and feasible - into national or sub-national policies and development plans, including as appropriate SWAps and PRS (e.g. the latrine design is adopted as the standard in national health policy, or local government policy, or; HIV peer education is part of the national Programme on HIV/AIDS Prevention, and mandatory in all secondary schools), and/or in provincial or municipal programmes.

11. Most pilot projects are about influencing larger national or sub-national plans or policies. A successfully completed pilot project will make a case – or provide evidence – for the viability and usefulness of larger policy recommendations or plans. Consequently, two critical results of a pilot project would almost always be:

- A credible research document that provides proof of the worth of an intervention, or of the correctness of the hypothesis, or correctness of the assumption;
- A pre-identified change in national or sub-national policies or development plans or programmes (which may include supportive regulative frameworks for private sector involvement or community based solutions).

12. Sometimes “piloting” is used at a lower level of results, for instance to fine-tune a training programme. In such cases, this testing of a specific activity or output (e.g. a training module) would form part of a larger project or programme, and would not be considered a separate pilot project. Nevertheless, the same rigour should normally be applied at this level, too.

13. Area-based programmes often include elements of piloting. Not all area-based interventions may be meant for wider replication. Care should be taken in reviews to differentiate between interventions that are meant to be replicated more widely, and those that are meant to be primarily applicable to the presently involved groups.

14. Therefore, the following steps should be considered at the time of formulating the planned results of pilot projects:

- Formulate the hypothesis, model intervention, or assumption (e.g. *HIV/AIDS education in 10th grade will raise knowledge about HIV prevention among 15 year olds from currently 62% to 90%*);
- Identify the (national or sub-national) policy or plan/programme that should change, if the hypothesis can be proven to be true, the model interventions works in a cost-effective way, or the assumption turns out to be correct (e.g. *the national curriculum for 10th grade will adopt HIV/AIDS module*);
- As far as possible, determine the cost implications of the proposed changes in national and sub-national policies and plans, to assess the feasibility of scaling up (e.g. *one-time affordable costs covered by UNICEF for adjusting teacher training curriculum; costs for teacher orientation*);
- Determine whether there are political, cultural, legal or other costs or objections, or negative side-effects, to adopting the pilot project results into wider policies and plans (e.g. *some older teachers or some faith-based schools might be reluctant to teach the HIV/AIDS module*). The pilot may help identifying ways how these constraints can be avoided or reduced;
- Determine whether (national or local) government would accept the scale of the pilot project as adequate proof of the hypothesis or model intervention (e.g. *pilot to run at least in 3% of all schools, and knowledge of adolescent to be tested immediately after the class, and one year thereafter*);
- Formulate the evaluation questions for assessing the outcomes of the pilot project. Ensure that (national or sub-national) policy makers will accept an evaluation around these questions as sufficient validation for the success of the tested model intervention, hypothesis or assumption. International evaluation standards and “standards of proof” (e.g. epidemiological considerations) should be observed.

15. It is strongly recommended to work closely with national partners, including relevant national researchers (and the UNICEF M&E Officer), in all steps outlined above and those related to implementation and evaluation of the project. This will help to

- ensure expressed national interest in the pilot activity;
- secure national buy in for involvement and support during implementation;
- ensure relevance of results and recommendations in the national context;
- build capacity of development partners.

16. Especially the costs should be carefully weighed, not only considering the costs of the project itself, and possible negative or indeed positive side-effects (“externalities”), but also the savings that could occur. For instance, the costs to Government of introducing a mandatory HIV/AIDS programme in schools might be less in both the short and longer run than financing the health care

for those that otherwise get infected in the future. The costs to society as a whole of not introducing the programme might even be greater. Cost categories might include: research; start-up costs; recurrent costs; evaluation and documentation. Indirect costs may be incurred by government, communities and household, and it should be considered how these will be measured. It should be checked whether the project does not unintentionally shift the cost burden from Government to communities and households.

Pilot Project Design Considerations

17. The intent to conduct a pilot project in a specific area should, as far as possible, be recorded in the CPAP. The process of policy reform or changing plans according to the documented findings of the pilot project should be described, if possible, in the CPAP and in the project documentation. Pilot projects should be denoted as such in the AWP.

18. A pilot should be considered a part of the support by the Country Programme to the national research agenda. Being a major research activity, it should be included in the IMEP. Pilot projects should be discussed as research activities in annual planning sessions and annual reviews, and reported as such in the Country Office Annual Reports. Periodic reviews (including annual and mid-term reviews) should not only consider progress in the implementation of the pilot, but also the ongoing relevance and feasibility of the hypothesis, model intervention or assumption to be tested.

19. The expected costs of each phase of the pilot project (design, implementation, documentation, evaluation, dissemination) should be properly budgeted for in the AWP.

20. As for any research project, the most suitable methodology should be considered. Piloting may not always be the most effective or efficient way to test a hypothesis. For instance, when the main variable in the proposed policy or intervention is the opinion of people, an in-depth participatory survey on client perspectives could be more appropriate.

21. Provisions for participation of children, families or communities in the design of pilot projects should be made, and add to the credibility of the undertaking.

22. In order to provide as much evidence as possible for the effectiveness of the proposed programme or policy interventions, it is always advisable - in fact, is necessary in practical terms - to use [result-based programme planning tools](#): a causality analysis of the problem to be addressed, a results framework, a logframe for the final project design, a monitoring and evaluation plan.

23. A baseline survey would always be required to determine changes in the course of the pilot project.

24. Particular attention should be paid to identifying the planning assumptions, preferably as a part of the logframe approach. Frequent review of the planning assumption will help to guard against mitigating or promoting factors that may falsify the outcome of the pilot (i.e. because of drought, many pupils only attend school intermittently and the benefit of a new teaching methods may appear to be not significant; or because of extraordinary involvement of local leadership in the

school, improved learning was not mainly the result of the project, but the result of this leadership).

25. Consideration should be given to opportunities for and advantages of joint programming approaches in pilot initiatives with UN and other partners.

26. Consideration should be given to simultaneous monitoring in control areas (areas without the pilot interventions). However, it should be noted that more frequent monitoring alone is likely to influence behaviours of partners or even social indicators. Minimum ethical considerations should be observed when working with control areas: For instance, control areas should have access to the currently “best” available service. (There is presently no fully developed set of standards, and more work needs to be done in this area. A web-search around *ethics, research, development* as key words yields useful information). Alternatively, one may use a more loosely organized comparison group process, perhaps not necessarily statistically controlled or with the same comparison group all the time. Comparison groups will also have to be covered by the initial baseline survey. While options may vary, policy persuasiveness of pilot results is often greater when a comparison is presented to non-intervention areas, rather than a comparison with the pre-intervention situation.

27. Pilot projects should comply with existing national standards (unless a change of the standards is being piloted). For instance it would be unreasonable to provide incentives to teachers for working in the afternoons. The pilot project must not create a “greenhouse” environment for the proposed interventions that will not exist later on. This would not make it replicable.

28. If special resources are used, the project may become irrelevant for policy change, because scaling up would not be financially feasible. Ideally, the costs of the pilot should primarily be the costs of its research aspects (i.e. design, development, measurements, participatory reviews, documentation, evaluation). The costs of the research and evaluation activities should be clearly separated from the costs of the piloted interventions, in order to be able to estimate more correctly the cost implications for the proposed changes in government policies or plans. It might be useful to calculate the cost per person (family, community) of the pilot intervention.

29. As also mentioned in paragraph 10, implications for scaling up should be assessed, as far as possible, during the design of the project. It is a good idea to separate projected costs into capital costs or, as appropriate, start-up costs (for possible financing by donors) and recurrent costs. Costs may be calculated as “net costs” (costs of scaled up activities minus benefits or savings resulting from successful interventions) and should consider economies of scale. Other implications could be the needed changes in norms, practices and behaviours by service providers and users; or the limiting effects of scarce resources such as skilled trainers.

30. The pilot project should have a clear termination date, by which a final evaluation and documentation is prepared. Where a pilot project is largely experimental, periodic reviews should be scheduled with set criteria to determine whether the project shall continue or should be called off. Cost norms (e.g. cost per household, cost per intervention) should be included in those criteria.

31. At the design stage, a communication strategy should be considered to disseminate the findings of the pilot project, including the recommendations for changes in government policies and plans. This strategy should be developed in consultation with the concerned policy makers, and take note of the national planning cycles, planned policy reforms, budget processes and preparation of SWAps or PRS.

32. It is advisable that:

- the communication strategy covers the entire project cycle, and addresses the most important counterparts and research institutions;
- periodic reporting is considered an opportunity to keep relevant audiences in the loop;
- findings be disseminated regardless whether the project is fully successful. Reporting non-successful interventions prevents the repeating of the same pilot in the future.

Operational Consideration

33. Pilot projects are essentially supported and implemented like any other projects. However, because of their often experimental nature, particular attention should be given to possible sensitivities and the need for clear communication (also about the pilot nature of the intervention).

34. Human resource requirements for successful implementation and documentation of the pilot project should be estimated at the design stage. Existing personnel may need orientation; new staff (if new functions are being tested) may have to be hired; a national manager and support staff may be needed throughout; research staff or consultants may be needed on a periodic basis. UNICEF M&E staff should always be involved.

35. A pilot project must be, more than any other project, subject to thorough monitoring and frequent reviews. It is important to keep concise records of the various phases of the project, especially in order to document the causal relationship between the supported interventions and the outcome of the project.

36. The establishment of a reference group with advisory responsibility from the design through to evaluation and dissemination has been found useful.

Analysis, Documentation and Dissemination

37. Because of the planned effect on wider national or sub-national plans and policies, it is important to fully analyse the results of the pilot project, as rigorously as possible. In addition to – or within - a formal evaluation, consideration should be given to triangulation of the findings and results. These could include consultations with other stakeholders, specific surveys, or other – preferably participatory – research methods. Provisions for participation of children, families or communities in the validation of pilot projects should be made. Evaluations should also identify, where they exist, mitigating or supporting circumstances that influenced the outcome of the pilot project.

38. A final evaluation document should be prepared, pointing clearly at the proposed changes in government policy or programmes as discussed at the inception of the project (or suitably

modified in light of the experience of the pilot project), including a discussion of the estimated cost and benefits and outlook on sustainability.

39. Special attention should be given the preparation of good-quality, comprehensive and readable final reports reaching different audiences. Results and findings should be disseminated also to technical communities, to share methodological approaches and innovations, and to provide material for case studies. Where possible, feedback should be sought, including from those affected by the pilot project.

40. Finally, a brief lesson learned document should be prepared for each completed pilot project (including those which are unsuccessful), and shared with the Regional Office, the relevant section in Programme Division, the Division of Policy and Planning, and the Evaluation Office.

Section 19: Identifying, validating and documenting innovations, lessons, and good practices

Background

1. This section provides guidelines for identifying, validating, and documenting those practices in planning, programming and policy advocacy that are of value for the country office, its partners, and for a wider audience. These guidelines refer specifically to three categories of practice: *innovations, lessons learned* and *good practice*. This section should be read in conjunction with the guidelines for *Pilot Projects*, Chapter 6 Section 16 of this manual, especially with the *Analysis, Documentation & Dissemination* component.
2. They need not represent an entire intervention or programme. For example an overall programme may not be completely successful but there may be valuable lessons and good practices in a particular component. A key aspect is that a practice is something that has been tried and implemented, as opposed to a potentially good idea that hasn't been tested.
3. Guidelines are needed in order to prioritize the publication and dissemination of the results of different programming, planning, or advocacy initiatives in UNICEF offices. Not every programme or policy initiative is innovative, nor generates significant and new lessons, nor following recommended practices. This chapter provides some criteria to identify those initiatives that are innovative, provide new lessons, or are examples of good practice and are worth sharing with other offices for learning purposes.
4. This part of the PPPM forms a component of UNICEF's renewed focus on knowledge management. Knowledge management is a broad field relating to both knowledge processing (the many ways that knowledge is generated and shared) and organizational management of knowledge. UNICEF is in the process of developing a corporate knowledge management strategy and this chapter will contribute to one strategic direction of that strategy. This area is also results focused; a key component of selection of an innovation, lesson, or good practice is its impact on programme targets, which then leads to identification of supporting operational and organizational elements.

Purpose

5. The purpose of identifying, validating, and properly documenting different practices is for organizational learning, organizational memory, generation of new ideas, improved demonstration of human rights-based approaches, and for evidence-based policy advocacy. These different elements fit within the broader knowledge management goals of UNICEF.
6. This chapter links to existing UNICEF documentation and reporting throughout the programme cycle that requires lessons learned and good practice components. The CPD includes a summary of lessons learned from previous cooperation agreements (CPD - Section 4) (see PPPM - Chapter 3, Section 2). The programme instruction regarding requirements for submission and clearance of CPDs (CF/PD/PRO/2006-019) also refers to the specific use, validation, and scaling up of lessons learned. The CPAP preparation (or MPO if before 2004) includes a summary of past cooperation and lessons learned (CPAP - Section 3) (see PPPM - Chapter 3, Section 2). The MTR or CPE also contain a summary of lessons learned through annual reporting, evaluations, and field visits (see

PPPM – Chapter 4, Section 1). The COAR contains a section to report on lessons learned from implementation of the AWP (COAR – Section 5) (see PPPM – Chapter 4, Section 1).

7. The identification, validation and documentation of these practices also fits into the UNICEF knowledge management framework. In addition to summarizing lessons learned in the programme documents, knowledge sharing through internal and external publications and communities of practice is important. UNICEF is examining options for staff publication of innovations, lessons learned, and good practice; this will require strong documentation of pilot projects and scaled up programmes.

Three categories: innovations, lessons learned and good practice

8. The following covers three categories of practice; ***innovations, lessons*** and ***good practices***. It is necessary to make some clarification on different terminology. The term ‘best practices’ is contentious given the range of UNICEF programming and the specific contexts of operation in each country and for this reason the term ‘good practices’ is being used. There are also important practices that cannot be considered a good practice because they lack replication or evaluation or scale; these lessons learned may however be very innovative and successful on a smaller scale or they may generate or build upon important lessons from previous programmes or projects. Some of these lessons are positive (the practice is working) and others negative (the practice isn’t working or requires improvement).

9. Figure 1 presents three categories of practice, their description and potential utility and sources. These categories are not exhaustive of all potential knowledge and experiences but are meant to be inclusive of some other forms of analytical documentation. For example, case studies are often developed to document a particular practice; with the above categories, case studies should contribute to any of them depending on content.

Figure 1: A taxonomy of practices

Category	Description	Utility	Sources
Innovations	i. A practice that has not been substantiated with a formal evaluation, nor scaled up beyond its initial scope. This practice will likely be in the pilot project stage but is seen as successful with a strong potential for impact.	Innovations can be used to highlight new ideas, upcoming areas of concern and solution, and alternative and contextual approaches to standard practices in UNICEF programming and planning areas.	<ul style="list-style-type: none"> • Pilot projects • M&E reports • Case studies • Implementing agency reports • External partners
Lesson Learned	<p>i. A practice that has been scaled up and is beyond the piloting stage. The practice has lessons to share based on qualitative and quantitative evidence about its impact. There should also be a demonstration of learning and change in the practice.</p> <p>ii. A practice that was discontinued because of evidence about its impact. The lessons learned could be operational or technical or context (location, resources, capacity) related; especially important are those practices that were successful innovations</p>	Lessons learned highlight on-going learning during programme planning or implementation. Documentation of key lessons is valuable for organizational learning and documentation and for other organizations. Good lessons will require follow-up by ROs and H	<ul style="list-style-type: none"> • Pilot projects • Case studies • Annual reports • Synthesis of existing documentation and knowledge • Formal reviews, mid-term reviews • Evaluations • CPE, UNDAF, etc.
Good Practice	i. A practice that has demonstrable results with qualitative and quantitative evidence of impact. The practice should also have a formal evaluation and evidence of an adoption-diffusion process (piloting / scaling up). The practice should have been repl	Good practices have utility for learning and adoption inter-country and inter-regionally, in addition to further publication and or development for programme guidance.	<ul style="list-style-type: none"> • Evaluations • Case studies • Annual reporting • Synthesis of existing documentation and knowledge on pilot projects • Formal/mid-term reviews • External partners • CPE, UNDAF, etc.

Quality Control and Assurance

10. Clear criteria for quality assurance need to be used when documenting different practices. Often experience and evidence of practices is written in a manner that is not useful for a practitioner or researcher. There are clear differences between a collection of documents that serve as learning material, those that serve as guidance, and those that are mainly for institutional memory. The approach to identifying and documenting the right information depends on the intended final output.

11. Quality control criteria address the following three aspects, which should be applied sequentially (Figure 2 summarizes the criteria for each type of practice):

- i. **Identification:** the ‘worth’ or ‘value’ of a practice to others in the organization and to external partners where appropriate. This includes the relevance of the practice to UNICEF’s mandate and targets, the contribution to knowledge, i.e. whether the practice is new or adds value, and the relevance to current issues/debates/problems in child rights and development.
- ii. **Validation:** the ‘soundness’ of a practice that can be scrutinized, critiqued, and appropriately verified if required. In practice, this generally includes following standards for participation, social and professional conduct, planning and reporting. In documentation, this generally includes following standards for confidentiality and informed consent where needed, UNEG standards where appropriate, and proper research methodology where necessary.
- iii. **Documentation:** the way in which the practice is presented. This includes the format for documenting and presentation in addition to the particular content that should be included. Criteria for documentation provide uniformity in presentation but also help to ensure that the practices provide the most relevant and useful information to the intended audience in an easily accessible manner.

Criteria - Innovations

12. **Identification:** Innovations are those practices that are generally still in a pilot project stage and have not been scaled up, nor formally evaluated for their impact. They however are assessed with some qualitative and quantitative measures to be successful in reaching targets and making an impact. The innovative practices should be in line with MTSP priorities and demonstrate new or adapted approaches. An innovative practice is not an early stage implementation of a well-proven and tested practice unless there has been some adaptation or contextual element that adds value to existing guidelines and knowledge.

13. **Validation:** The validation of innovative practices should follow a number of standard elements including evidence of impact, not just descriptions of targets or plans. The evidence is not necessarily from formal evaluations but should be both qualitative and quantitative and demonstrate a monitoring and evaluation component to the practice. The innovation should also demonstrate and have incorporated key programming elements of HRBAP and RBM for children. If the innovation relates to policy analysis and advocacy, there should be an analysis justifying the advocacy position and evidence of impact on decision-making even if this evidence is largely qualitative in early stages.

14. **Documentation:** The main audience for innovation practices should be internal UNICEF staff and interested partners for the purpose of sharing new ideas and potential opportunities in development practice. The documentation should be summary; no more than two or three pages. The use of good quality photos, graphs, personal stories and videos is encouraged. It should include a brief description of the major innovation, the relevance to MTSP focus areas and programming approaches (HRBAP/RBM), the partnerships involved, resource utilization,

sustainability issues, and a summary of the potential significance of the innovation. Finally, a short section on evidence should anchor the innovation using specific qualitative and quantitative information as a body of facts for success. A contact person from the originating office should be provided.

Criteria – Lessons Learned

15. Identification: Lessons learned are based on practices that are beyond the pilot stage, i.e. after the first internal or external review or evaluation and are either being scaled up or discontinued. Lessons can be either positive or negative; evidence for the success of a practice is valuable as is evidence for the shortcomings and both types of lessons are valuable knowledge. Lessons learned should have both qualitative and quantitative evidence of impact through either internal monitoring and evaluation measures or through formal evaluation. Identification will place priority on those that have one or two major thematic lessons that are relevant as learning and knowledge sharing tools. Those lessons should also be directly relevant to UNICEF MTSP priorities and programming components, e.g. HRBAP/RBM. Lessons should have implications for a broader audience, i.e. the lesson is applicable beyond the original context. Lessons that are directly related to existing guidance (adding value, clarifying, operationalizing) are a high priority.

16. Validation: The validation criteria for lessons learned include the adherence to [UNEG standards](#) for any evaluations related to the practice. Additionally, the lessons must include discussion and evidence on issues of participation and gender, monitoring and evaluation strategies, resource utilization and sustainability, capacity development and targeting, where appropriate. The evidence of impact should be demonstrated qualitatively and quantitatively and this evidence should also be related to RBM and HRBP as appropriate. If the lesson relates to policy analysis or advocacy a description of the implementation (how the analysis affected advocacy, or how the advocacy changed decision making) should be provided.

17. Documentation: The main audience for lessons learned documentation will be UNICEF internal staff and some development partners. Because of the nature of lessons learned, a higher priority is put on using them for knowledge sharing within UNICEF and as a record of learning from implementation. The documentation should be four or five pages with an initial summary section highlighting the major lesson that is the focal point of the piece. An evidence section should anchor the piece and provide summary qualitative and quantitative evidence on the impact of the practice and why it is or is not considered successful. Additional sections on the context and background, resource utilization, programming elements, partnerships and capacity development should be included and the piece should provide a justification for the significance of the lesson (noting the programming and planning contexts). The use of good quality photos, graphs, personal stories and videos is encouraged. A contact person from the originating office should also be provided.

Criteria - Good Practices

18. Identification: Good practices are those that have been replicated in more than one site and generally in different contexts (economic, cultural, partners, etc.). The practice should have had a formal evaluation on one or more components and should have high quality qualitative and quantitative evidence for impact. The good practice should highlight *essential elements*

(applicable in all contexts) and *contextual elements*. Where a lesson learned is focused on one or two major lessons, the good practice should bring out all important elements that lead to successful implementation and impact. The practice should also be relevant to MTSP priorities and HRBAP/RBM programming components. Good practices should above all add value or adapt to existing knowledge and programming guidance, i.e. good practice documentation should not merely replicate existing programming guidance.

19. Validation: Validation of good practices requires inclusion of evidence from formal evaluations on operational and impact indicators. All evaluations must also follow UNEG standards and standards for professional conduct in both the practice implementation and research for the submission. A description of resource use and sustainability issues is also essential (e.g. financial and human resources, continuity, resource sharing). An important aspect of a good practice is evidence over time; the duration of implementation in the different contexts and the lessons learned during implementation should be included. A focal point for a good practice is impact; good practices should not be pieces of theoretical research nor descriptions of planned projects, but should be evidence-based pieces that describe the implementation and scaling up of a UNICEF priority practice over time. Good practices may originate from one office, e.g. a country office, regional office, or may be a compilation of the experiences and lessons across several offices compiled by headquarters or other researchers.

20. Documentation: The major audience for documented good practices will be internal (UNICEF staff) and external development practitioners. The use of good quality photos, graphs, personal stories and videos is encouraged. The documentation should be no more than 7-8 pages with an important component being a summary page at the front describing the background and context(s) of the practice, the major programming elements, the lessons learned over time and resource or sustainability issues. Additional sections should include an analysis of major evaluation results and internal M&E results focused on the impact indicators. Sections on advocacy (if appropriate), resource use and sharing, sustainability implications, partnerships and potential applications of the practice should also be included. If the good practice focuses on policy analysis and advocacy then the analysis behind the advocacy position should be clearly summarized and the results of advocacy should be described specifically (e.g. how advocacy was done, who was targeted, the decisions made, the impact on programming, the follow-up, etc). A contact person from the originating office should be provided.

Figure 2: Criteria for identifying, validating and documenting practices

Category	Identification	Validation	Documentation
Innovations	<p>Pilot stage with or w/o formal evaluation</p> <p>Qualitative and quantitative evidence</p> <p>Adheres to MTSP priorities</p> <p>Demonstrate HRBP/RBM principles</p> <p>Adds value to existing guidelines and knowledge</p>	<p>Evidence of impact, qualitative and quantitative</p> <p>Evidence of monitoring and evaluation strategy</p> <p>Incorporation of HRBP and RBM principles</p> <p>Policy analysis and advocacy shows at least qualitative impact</p>	<p>Main audience is internal staff and selected partners; idea generation, knowledge sharing, organizational memory.</p> <p>2 pages w/ following sections:</p> <p>a) Summary of main innovation b) Strategy and relevance to UNICEF MTSP c) Evidence of results & analysis of impact d) HRBP/RBM/gender components e) Partnerships & capacity building f) Resource utilization & sustainability g) Potential significance</p>
Lessons Learned	<p>Practices that are beyond pilot stage; being scaled up or discontinued</p> <p>Both positive (it works) or negative (it doesn't work) lessons</p> <p>With or without formal evaluation</p> <p>Qualitative and quantitative evidence</p> <p>Focused on 1-2 major thematic lessons</p> <p>Adheres to MTSP priorities and demonstrates HRBP/RBM principles</p> <p>Applicable beyond the original context</p> <p>Adds value and or new knowledge</p>	<p>Any evaluation(s) must adhere to UNEG standards</p> <p>Evidence of impact, qualitative and quantitative</p> <p>Evidence of monitoring and evaluation strategy</p> <p>Addresses issues of gender, participation, capacity building & targeting, and sustainability as appropriate</p> <p>Incorporation of HRBP and RBM principles</p> <p>Policy analysis and advocacy shows qualitative and quantitative impact</p>	<p>Main audience is internal staff; learning and knowledge sharing.</p> <p>4-5 pages w/ following sections:</p> <p>a) Summary of 1-2 major lesson(s) b) Context and background c) Strategy and relevance to UNICEF MTSP d) Evidence of results & analysis of impact e) HRBP/RBM/gender components f) Partnerships & capacity building g) Resource utilization & sustainability (in</p>
Good Practice	<p>Replicated in more than one place</p> <p>Has been formally evaluated</p> <p>Essential elements and contextual elements are distinguished</p> <p>Relevant to UNICEF MTSP and HRBP/RBM</p> <p>Adds value or adapts existing knowledge and programme guidance</p>	<p>Evaluation(s) follow UNEG standards</p> <p>Lessons learned during implementation are described</p> <p>Qualitative and quantitative evidence of impact provided</p> <p>Analysis of resource use and sharing, capacity building, and partnerships included</p> <p>Incorporation of HRBP/RBM elements</p> <p>Relationship to UNICEF priorities and existing guidance is clear</p>	<p>Main audience is internal staff and development partners; informing guidance, sharing knowledge, and demonstrating UNICEF's work</p> <p>8-10 pages with the following sections:</p> <p>a) A summary page describing background and context(s), major programming elements, and major strategies, lessons and impacts b) Strategy and relevance to UNICEF MTSP c) Evidence of results & analysis of impact d) HRBP/RBM/gender components e) Partnership</p>

21. This Section supports existing UNICEF documentation processes outlined in paragraph 7. Importantly, the Country Office Annual Report contains a Lessons Learned section and this section can be directly applied for the completion of that section. UNICEF HQ Division of Policy and Planning and Programme Division are also developing knowledge management tools (e.g. internal and external publications) that will utilize well documented innovations, lessons, and practices from Country Offices.

22. In all cases, a reference person from the originating office should be indicated with the documentation in order that any follow-up or questions is easily done. This reference person should be someone familiar with the documentation and the supporting evidence base. In headquarters, the reference office for any queries relating this section is the Strategic Planning and Programme Guidance Section in the Division of Policy and Planning. Please direct any queries to either Richard Morgan (rmorgan@unicef.org), Paulette Nichols (pnichols@unicef.org) or Ross Smith (rsmith@unicef.org).

23. Documentation of innovations, lessons learned and good practice involves a moderate time and resource commitment. This is especially true where validation may require additional monitoring or evaluation activities. Country Offices should consider identifying staff time and financial resources for effective identification, validation, and documentation. Generating and sharing knowledge on UNICEF programming, internally and externally, is a professional duty and managers should assist staff to improve the quality of validation and documentation, in addition to providing work incentives to promote this area. It is recommended that available time and resources be focused on identifying one or two particularly valuable examples at a time, especially those that have a strong evidence base, rather than focusing on a larger number of examples and providing minimal analysis for each.

Section 20: Reaching Marginalized Children and their Families

Rationale for this Note

1. It has always been UNICEF policy (e.g. *Mission Statement*⁴⁹, *Programme Policy and Procedure Manual*, *Human Rights Based Approach to Programming*) that Country Programmes should focus on marginalized, disadvantaged, discriminated and excluded groups. The almost universal ratification of the CRC, and the now UN system-wide attention to a Human Rights based approach to programming have renewed this focus. The principles of universality and non-discrimination, participation, accountability and the rule of law demand that governments and development agencies seek to ensure that everyone can enjoy the full spectrum of Human Rights.

'Recall the face of the poorest and the weakest man whom you have seen, and ask yourself, if the steps you contemplate are going to be of any use to him. Will he gain anything by it? Will it restore to him control over his own life and destiny?' (M. Gandhi)

2. Most Country Programme Documents prepared by UNICEF explicitly refer to the need to reach marginalized groups. This focus tends, however, to dissipate in more specific programme documents or proposals, and there is even less evidence that UNICEF assisted interventions are successful in “reaching the unreached”. Most programmes appear to be designed, and programme managers satisfied, with increasing - but not necessarily achieving full - coverage. Even most of the MDG targets can be attained without inclusion of the poorest. Moreover, participation by marginalized children and families, and accountabilities *to* them have rarely been treated as integral to programmes.

3. It is easier to increase coverage of a service from 40 to 60 percent, than from 80 to 100 percent. Regular programme interventions are often not suited to reach the excluded or marginalized. “More of the same” does not work in most situations. Other programmes begin with the intent to achieve full coverage, but run out of time or resources. This note provides suggestions on how to systematically focus assistance on the most marginalized. Country Offices should also consider allocating resources first to the most marginalized children rather than leaving them to be the last to receive a service. Lessons learned from such experiences are likely to benefit everyone⁵⁰.

Scope and Limitations

4. Marginalized children, in this context, are defined as children who persistently lack effective access to needed information and one or more quality basic services, and/or are subject to abuse, violence and exploitation. This note primarily suggests steps to increase the access of marginalized children and their families to basic social services, based on the Human Rights principles of Universality, Indivisibility and Interdependence of Rights, Accountability, and Participation.

5. Marginalization in this context primarily describes a manifestation (the lack of access). Among the causes are exclusion and discrimination, both of which can be intentional or an act of omission or due to the lack of resources. Marginalized children and families are sometimes or often

⁴⁹ “In everything [UNICEF] does, the most disadvantaged children and the countries in greatest need have priority”.

⁵⁰ It should be noted that programmes for marginalized groups are also needed and supported in industrialized countries.

intentionally excluded, but not always. The suggested strategies describe, where necessary, how to address exclusionary practices. Also, marginalized children and families are often very poor and among the poorest, but being poor in an impoverished country may not necessarily mean being marginalized within the country⁵¹.

6. This guidance note does not, generally, concern itself with

- reduction of income poverty. The possible positive and negative effect of economic policies (both within and between countries) on marginalized populations is undeniable, and Country Offices are expected to engage in economic analysis and advocacy.
- situations of armed conflict or natural disasters; or lack of access due to security concerns; response to such humanitarian situations is described elsewhere⁵².
- people or groups of people who have at least periodic access to basic services, and would benefit from improved service delivery. It is understood that, in keeping with a human rights based approach programming, all people should have continuous access to good *quality* basic services. How to improve the quality or reliability of a service is covered by other technical guidance.

7. This note focuses on the core areas of UNICEF support. Other important related issues (e.g. exclusion from agricultural extension services, or income opportunities) are referred to only if relevant to the provision of basic social services needed to meet UNICEF's organizational priorities and targets. The suggested strategies should be applicable to a wide range of social services, and will enable UNICEF to provide substantive inputs into national development debates, including the preparation of UNDAFs, Sector Wide Approaches and Poverty Reduction Strategies.

Making the case for Reaching Marginalized Children and Families

8. Some of the barriers to supporting the rights of marginalized children and families might be technological, institutional or organizational, and could be overcome through technological innovation or improved management of existing services. In many cases, however, "reaching out" requires the exercise of political will and commitment, including special financial commitment. This commitment can be absent, because of

- the perception that little political gain can be had by the national or sub-national leadership from efforts, including financial efforts, to assist the marginalized;
- the existence of stigma and prejudice (e.g. "these people don't want to work or send their children to school");
- invisibility of marginalized group in national statistics;
- the perception that one size should fit all;
- misunderstood cost and equity considerations (e.g. "we can't afford to do this");
- the lack of a clear understanding of accountabilities (e.g. as stipulated by the CRC, CEDAW, CERD⁵³ or other treaties);

⁵¹ A thorough reflection on the relationship between and terminology related to poverty and exclusion can be found in Amartya Sen: Social Exclusion: Concept, Application and Scrutiny

⁵² Emergency Handbook; Technical Notes: Special Considerations for Programming in Unstable Situations

⁵³ Convention on Elimination of Racial Discrimination

9. The following considerations can help in “making the case” for increased national attention to ensuring basic service access to marginalized children and families:

- State Parties to the CRC have committed themselves to ensure the enjoyment of children’s rights by all children, and should be guided by principles of universality, non-discrimination, participation and accountability; the HR treaties, including CEDAW, make a special case for focusing government’s actions on the most vulnerable and excluded; State Parties have to periodically report to the CRC and CEDAW Committees, and the Committees will comment on their performance; specific recommendation by the Committees should be followed up;
- The Millennium Declaration⁵⁴ underlines the commitment to reaching the most vulnerable and marginalized⁵⁵;
- Reaching marginalised children and families is a vital necessity for regional or global eradication efforts (e.g. Polio eradication). Once reached in an eradication effort, it should be possible to reach the same populations with other services too;
- Reducing marginalization also lowers the risk of social unrest, and increases chances for social stability and peace. It is beneficial to society as a whole, when people see a health worker or teacher more often than the police;
- The unit costs of any service reaching marginalised children and families may often be higher than for the already served. Given that those left out have so far not benefited from public expenditures for such services, it can be considered fair that higher costs may be incurred for them now.

‘Marginalized children are entitled to their share of the educational budget. As they have been denied their educational rights earlier, the additional costs of including them must be accepted...’⁵⁶

Providing a service to marginalized populations may not or only insignificantly increase the average unit costs of the service, because of the small number of marginalized people compared to the population already covered. The unit costs for any recommended strategy in a particular scenario should be carefully calculated. Development (e.g. capital) costs need to be clearly separated from recurrent costs of the service.

- Significant levels of marginalization (and lack of access to service) do in fact have their own costs – both in short and long term – to society.

10. Even if there is sufficient political will to provide services to marginalized children and families, government might be reluctant to change existing or adopt new policies for fear of cost implications and uncertainties of effectiveness. A key strategy for UNICEF assisted programmes is to simulate or otherwise research the effect of a proposed policy change, in order to make the case to government decision makers and development partners and allow for necessary budgeting in support of affirmative action. Other development partners are more likely to provide the capital

⁵⁴ Most of the Millennium Development Goals, except goal #2 and #3 on education and gender, are “reduction goals” (implying that there still will be children left out). The Millennium Declaration, in recalling Human Rights and Human Rights principles, makes a stronger case.

⁵⁵ Millennium Declaration, Art. 2: “As leaders we have a duty therefore to all the world’s people, especially the most vulnerable and, in particular, the children of the world, to whom the future belongs”

⁵⁶ *National Policy Options for Educationally Marginalized Children*, Ministry of Basic Education and Culture, Namibia, 2000

cost (such as for infrastructure) for scaled up interventions if evidence can be provided that the intervention works.

11. Country Offices, in their advocacy for attention to marginalized groups, may encounter political sensitivities. Offices should seek wider partnerships among the development community, and with national partners. Often UNICEF can provide a platform (e.g. during planning or review meetings), where divergent views from national partners can be heard, and where representatives of the marginalized groups can participate. Advocacy is less likely to be refuted or ignored if backed by evidence from within the country. A focus on children and their rights is less likely to generate controversies than generalized debates about ethnic tensions and political affiliation.

A Human Rights based Approach to Reaching Marginalized Children and Families

12. Under a human rights approach to programming⁵⁷, UNICEF

- assists to ***identify*** the most vulnerable and excluded whose rights remain unfulfilled and to understand the immediate, underlying and basic causes for this situation. This is normally achieved by supporting specific research, including through assistance in the design of national or sub-national surveys, and periodically summarizing findings in an updated Human Rights based Situation Analysis. UNICEF assistance can also help to build national capacities and demand for research and analysis in support of marginalized groups.
- helps to articulate the ***claims*** of poor, vulnerable or excluded children and women, and draw attention to their rights through advocacy with decision makers and development partners, or through social mobilisation. UNICEF assistance helps to strengthen the capacity of marginalized people to seek political representation and redress, and helps to strengthen governance mechanisms (including through reform of administrative procedures) that capacitate marginalized people to claim their rights.
- helps to ensure that the claims of the marginalized people, corresponding duties and ***accountabilities*** of service providers or officials, and necessary actions are agreed upon and codified in national and local policies, legislation, procedures and plans, and supported by adequate budgets (national budgets or development assistance) that are well managed and monitored. In particular, UNICEF can help to ensure that the process of policy development is an inclusive one, follows human rights principles, and facilitates the participation of marginalized groups.
- helps countries to mobilise the necessary financial, human, material or informational ***resources*** in support of policies and plans related to marginalized children and families, from within their own budgets and from donor partners.

Who is marginalized?

13. If a particular service or benefit has not been universally available, and “more of the same” has not helped to significantly increase effective access, the characteristics of the marginalized groups – and perhaps the underlying patterns of marginalization – must be known in order to tailor the strategy. Where, for instance, subsidies or fee exemptions⁵⁸ are contemplated, a government need

⁵⁷ See PPP Manual, 2004 update

⁵⁸ Fee exemptions at the basic service level are in practice often low-cost propositions, because of the high ratio of administrative/handling costs and risk of corruption to the revenues actually obtained.

a fairly accurate estimate of the number of clients involved, in order to assess the costs and mobilize resources in a sustainable way. UNICEF should therefore assist national planners to improve the knowledge about which the left-out populations are, and the underlying and structural factors contributing to marginalization.

14. Service providers and programme planners may often have a general idea of who the marginalized excluded people are (e.g. those living without road access; female headed households; orphans; minority language groups; displaced people). However, quantitative assessments must be undertaken, also to establish a baseline for assessing later progress. It is important to apply statistically sound methods.

15. Chronic malnutrition or stunting is an objective and directly measurable indicator, normally reflecting the outcome of many forms of chronic and persistent deprivation and marginalization (e.g. lack of nutritious food within the household; presence of disease and absence of health care; inadequate care practice caused by lack of knowledge or disintegrating family support systems).

16. It is important not to cast the net too wide and to be as precise as possible in understanding who the most vulnerable and marginalized people are. For instance, a generally marginalized language group may make up 35% of the country's population but, because of gender discrimination, children born to single-parenting mothers are by far the most vulnerable in this group.

17. Marginalized children and their families are often not represented in national statistics (e.g. displaced people, or children living on the street). Routine data collection, such as by the Health or Education Information Systems, register data from those who already use a service, and not from those who do not. However, by comparing available routine data with other demographic information, it might be possible to more clearly identify who is left out.

For instance, if it is known that a certain language group makes up 20% of a region's population, and routinely collected enrolment data indicate that only 10% of the enrolled students are from this group, then this language group is most likely educationally marginalized.

18. While household surveys, such as Multiple Indicator Cluster Surveys (MICS), population census, or Demographic and Health Surveys (DHS) are constrained in reaching those not living in a household, or those living a nomadic lifestyle, most household surveys will be able to narrow down the risk factors that make a child particularly prone to marginalization⁵⁹. They can help to provide a possible profile of the un-served and unprotected populations.

19. In many cases, the findings will be fairly predictable (e.g. being a girl in a remote rural environment, born to a mother with no formal education and little income, may dramatically increase the likelihood of not being registered at birth). However, survey statistics may also dispel misconceptions (e.g. being poor in a city may not in fact imply better access to a given service than being poor in a rural area).

20. MICS and DHS surveys often collect data from other variables, including:

⁵⁹ Typical variables in large household surveys typical include: Urban/Rural; Male/Female; Family wealth (by quintile); Mothers' Education; Location

- Language (of the interview, of the response, or local language of the respondent). However, minority languages are frequently subsumed under “other”. It is often not permissible, because of the small sample size of people speaking a minority language, to draw wider conclusions; but indicative findings will point at the need to conduct more targeted research with those minority groups.
- Religion. Information on religion is usually collected, but rarely tabulated.
- Occupation. This variable is typically broken down into professional/technical, clerical, skilled manual, unskilled manual, agriculture, domestic service or others.
- Type of household. Women-headed, old-person-headed, child-headed households may all be prone to marginalization.

21. The descriptive analysis of surveys will usually show clear differentials in access to services. Statistical methods (e.g. *multivariate analysis*) are available to more clearly isolate the risk factors associated with a particular variable, and the cumulative effect of several risk factors. The Strategic Information Section (SIS) in DPP can be contacted for assistance.

A particular survey indicates the rate of birth registration for boys being 49.3%, and for girls 45.8, which may be considered an insignificant variance. Furthermore, 67.2% of all urban children are registered, in contrast to 37.3% of those living in rural areas. A multivariate analysis – by modelling a situation where all other things are considered equal - could reveal that the likelihood of not being registered is indeed 4 times higher for rural girls than for urban girls.

22. DHS and MICS survey designs have been tested over time. For any other large sample survey design, the Strategic Information Section (SIS) in DPP should be contacted to assure quality of the survey design and analysis.

23. DevInfo is very useful to visualize the results of large sample surveys, and to point towards geographic areas – or other attributes - of population groups which are marginalized. Depending on the level of detail available, DevInfo is able to visualize information down to specific location, and to use composite indices to reflect the combined effect of several vulnerabilities.

24. Large sample surveys can help finding out the extent of marginalization, but will not necessarily provide sufficient detail of the marginalized groups to point to possible interventions. In many cases a large sample survey needs to be followed up with more targeted research to further increase the understanding of who is marginalized.

For instance, while 70% of rural children of mothers with no formal education may not be immunized, 30% of the same group are. Additional research could reveal that those who miss out live more than 2 hours away from the health centre; or that 40% of those who vaccinate their children also have older school-going children.

25. Surveys supplementary may take different forms, including through focus groups, individual interviews of selected people, appreciative enquiries, rapid assessments or other quantitative or qualitative research methods. For instance:

- Household surveys may also interview, next to the head of household, potentially disadvantaged children, if present (e.g. non-biological children, children with disabilities or ‘problems of development’);

- Special Population Surveys (e.g. surveys of children on the street, of juvenile delinquents, of pregnant women delaying or not using prenatal care⁶⁰; of children without a primary caregiver, of displaced people, institutionalized children);
- Advisory surveys (e.g. interviews with civil servants, government officials, service providers, CSOs promoting protection of children, community leaders).

26. Attention must be paid, in any of such surveys, to the sampling methodology. For instance, a survey on children on the street might easily be biased towards children who are already reached by some service, while those not reached by any service might also not be easily sampled by a survey⁶¹. For a list of recommended reading on supplementary research methodologies, see the Annotated Bibliography at the end.

27. In situations where marginalized people without effective access to services are living within larger communities, it might be possible to let the communities identify those most in need. Community members often have the best knowledge about those who are most deprived. However, such knowledge is mainly useful for targeting specific support, and is discussed in the section on strategies.

28. Marginalized children and families can be identified through common attributes, but may or may not form a homogenous group. A particular language group, although marginalized, may have strong traditional family systems and leadership tying the group together. Those with low or no income may not enjoy the same social cohesion. Different strategies for reaching them may be needed.

29. It is important for the understanding of marginalization to differentiate between those who have become explicit victims – and symptoms - of marginalization (e.g. trafficked children, street children, acutely malnourished children), and the usually much larger marginalized population group that provides the “reservoir” for these extreme forms of exploitation and abuse. While immediate protection measures are called for (e.g. law enforcement to stop trafficking, programmes for street children, feeding programmes), the underlying marginalization of the larger population group needs to be addressed, too.

30. Results of surveys and research on the extent to which marginalized children and families have access to essential services, should be periodically summarized in the updated Situation Analysis on Children and Women, and provide an important input into the CCA.

Understanding Marginalization

31. Large sample surveys will typically not identify the causes of marginalization. Unless proven through specifically designed questions, through multivariate analysis or follow up research, care should be taken not to confuse a survey variable with the cause of marginalization.

For instance, a particular language group tends to lack access to a credit scheme. However, the reason might not be the language barrier per se, but discriminatory practices of the credit administrator, amounting to deliberate

⁶⁰ Delayed or no use of pre-natal care has been used as an indicator to study and monitor social disparities and marginalization in non-health sectors. See: [American Journal of Public Health](#)

⁶¹ The Study on Child Protection in Somalia “From Perception to Reality” discusses different research methodologies.

exclusions. Or, children from the lowest wealth quintile might typically not benefit from kindergarten services, due to administrative preferences being given to better-off families, even though attendance is without direct or immediate indirect costs (e.g. transport).

Any type of marginalization is likely to be exacerbated by gender discrimination.

For instance, it may be unlikely that members of a marginalized language group are granted credit, but it may be even more unlikely for women from this group to obtain credit.

32. The incorporation into large sample surveys of reliable qualitative questions is normally prohibitively expensive. Additional, specialized surveys or other research may be needed, and can also help to identify the strategies, knowledge, or skills of those who have obtained effective access to a service in spite of the same adversities.

For instance, a large sample survey may identify “high costs” as a reason for parents not enrolling girls. Only a more specialized and focused survey may be able to differentiate responses according to those parents who do not have the income to pay for the cost of schooling, and those who have sufficient income but consider it a poor investment (because the girl is meant to marry early).

33. Many marginalized children will face multiple forms of deprivation. A sectoral bias to the analysis of marginalization should be avoided. For instance, when children of a particular demographic group don't attend school or drop out repeatedly, it is often assumed that either the education system is inadequate, or that the marginalized group has a particular issue with formal education (e.g. the group wants to preserve its own values). Both types of reason might be valid, but it is also common that the same families lack effective access to other services – health, social security and pension benefits, agricultural extension, credit, secure land tenure, physical security, etc. This pattern of marginalization might have nothing to do with the quality or outreach of a particular service, but is the result of more underlying or basic causes⁶². Particularly in literature dealing with middle income and industrialized countries, this is often referred to as “social exclusion”⁶³. While this term suggests deliberate actions to keep a group from gaining access, this may not always be so⁶⁴.

34. The following attempts a non-exhaustive typology of reasons for marginalization.

- **Location, geography and lifestyle:** Transport and communications to areas remote from major cities might be considered too costly. Sparse population density may result in long distance to service points. Villages might only be accessible on foot. Nomadic or seasonally mobile populations might not be reached by static services. Notwithstanding their huge numbers, people in illegal urban settlements lack basic utilities, such as water. Service providers, such as teachers, may be unwilling to move to generally underdeveloped and unattractive areas, or to work in areas with ethnic tensions or other source of conflicts, or – in the case of cities – with high crime rates. Areas might be off limits for a long time due to war.

⁶² As stated above, chronic malnutrition is a directly measurable indicator reflecting a “composite” problem, and usually pointing towards a range of causalities in different sectors (employment, food supply, health, education, etc)

⁶³ see, for instance, UNESCO at <http://www.unesco.org/most/bpsocial.htm>

⁶⁴ Amartya Sen: Social Exclusion: Concept, Application and Scrutiny, Asian Development Bank, 2000.

- **Lack of Income and Unemployment:** Lack of disposable income is a major deterrent to the utilization of fee-based services. So are incidental costs, such as transportation, clothing and waiting time. Those in low income jobs might not be able to take time off to visit a clinic or supervise their children's homework.
- **Citizenship and Voting Rights:** The absence of political representation can be a major determinant for effective access to services, both in terms of directing services and resources to under-privileged populations, and of being eligible to use a service. Displaced people often suffer significant marginalization.
- **Gender:** Gender discrimination continues to be one of the major reasons for marginalization. Marginalized groups identified by other characteristics (e.g. language) may – among themselves – discriminate against girls and women, and children from single-parenting mothers.

For instance, only 30% of the San children in Namibia were enrolled in primary school 1998, in contrast to 95% of all children nationwide. Moreover, while about half of the enrolled children nationwide were girls, enrolment of San girls was significantly lower than of San boys.

- **Stigma and Discrimination:** Population groups are effectively and sometimes purposely excluded from services or benefits, because they are considered alien or inferior to the larger community. These can include ethnic minorities or language groups, including indigenous people, displaced people (even though they may remain displaced for a long time in the same area), migrant workers, people of perceived lower caste, children without parents, and – in some societies, women and girls. Stigmatized groups and their children are almost never wanted as neighbours, classmates, or friends except as menial labourers.

For instance," the accounts of many marginalised children and their parent of harassment, molesting, teasing, degrading by others in society are plentiful. Learners drop out of school for this reason and their younger siblings refuse to start school because of this".⁶⁵

Similar patterns often exist in treatment at health facilities, water points and in the level of protection provided by soldiers, police and social workers. Often, victims of neglect or abuse (especially victims of rape) become outcasts themselves.

- **Lack of Knowledge or Trust, and Cultural Distance:** People may not know that the service exist, its benefits, or that it is affordable. Distrust, low self-esteem (often the result of any of the above factors) and unfriendly, bureaucratic or cumbersome service provision may force people to ignore the service. People of different culture may espouse different concepts of service provisions, duty, and interaction with each other, and may on these grounds decline the use of a service.

San children frequently dropped out, because of their concept of learning being different from western schooling. "The San learning process has always been ... non-competitive in nature, built on cohesion in groups rather than on stimulating individual progress"⁶⁶.

⁶⁵ See "Policy Options for educationally marginalized children", Ministry of Basic Education and Culture, Namibia, 2000

⁶⁶ *Torn apart: San children as agents in a process of acculturation*, by Willemien le Roux, November 1999

- **Disabilities:** Children with disabilities may be unable to gain access to a particular service due to lack of adequate facilities and staff capacities. In some societies, they may be hidden from the public by their relatives, or denied access by administrators.
- **Deviancy:** Perhaps more – but not only - an issue in middle and high income countries, homelessness, alcohol and drug misuse, violence and conflict with the law can be barriers to accessing services and benefits. Engagement in illegal activities (e.g. trafficking, harmful labour, growing illicit crops, commercial sex work) may lead both deviants and victims to avoid contact with government services. Street children may not seek health services for fear of being detained.

35. The various clusters of marginalization are not mutually exclusive. The poorest people may face multiple forms of marginalization. One may lead to another. For instance, unemployment – aside from leading to loss of income – may lead to the loss of skills and practice, psychological harm and misery, loss of motivation, human relations, and trust⁶⁷.

36. It is important to note that disparities (e.g. gender disparities) can be even more pronounced within marginalized groups than in national averages. Children are often marginalized within their families (e.g. girls being educationally marginalized vis-à-vis boys, by their parents).

37. It should be noted that the above typology primarily provides for a listing of *risks* of becoming (or remaining) marginalized. Not all girls are educationally deprived, not all children with disability are excluded, not all orphans lack access to services, and not all ethnic minorities are discriminated against. However, being a disabled orphaned girl from a remote living ethnic minority will most likely lead to severe forms of marginalization. As established in the previous chapter, programme interventions should be designed so as to remain focused on the most vulnerable segments of the population.

38. Recent work has produced a definition of extreme child poverty by introducing operational definitions of deprivation for children⁶⁸. See Annex 1, for this table.

39. Programmes of cooperation should also strengthen the capacities of national research institutions and establish mechanisms to routinely collect data and conduct and review research about those left out from government services, including information and protection services.

Strategies to Reach Marginalized Children and Families

40. Several strategic approaches are being described in the following pages. Most often a combination of these might be called for.

41. Any strategy to reach marginalized children and their families will start with a review of the applicable *policy framework* including national plans and budgets. The review determines whether

⁶⁷ Amartya Sen: Social Exclusion: Concept, Application and Scrutiny, Asian Development Bank, 2000

⁶⁸ D. Gordon, et al: *Child Poverty in the developing world*, 2003. From Studies in Poverty, Inequality and Social Exclusion, by The Policy Press, UK. (This report introduces the concept of deprivations, and the varying extent of deprivations, that lead to the identification of those in acute poverty, or belonging to the most excluded)

adequate policy provisions or programmes are already available, but perhaps poorly implemented or not enforced. Policies and legislation should be assessed for their conformity with the CRC and CEDAW. They should clearly define *accountabilities* for making services accessible to marginalized groups, and be backed by adequate budgets. Any new national policy or plan, including sector wide approaches, civil service reforms, or PRS should be checked for any potentially harmful effect on marginalized populations, and to ensure that they do not increase the number of those already marginalized.

42. For any strategy for reaching marginalized children and their families, government leadership and *sustainability* is an immediate and overriding concern. It might be relatively easy to provide a service to a marginalized group, if both the group and the service are under constant scrutiny by UNICEF programme staff and national counterparts, and funds for planning, implementation and monitoring visits are available in abundance. Sustainability implies the provision of all recurrent costs (including the costs of continual monitoring that the services still reach the marginalized groups) in local or national budgets. Access by all children to quality basic services may also require re-distributive justice through better sharing of revenue among regions and across population groups.

43. Generally, the implementation of one or a combination of several of the described strategies could be piloted within a UNICEF assisted programme. This will help to establish the feasibility of the proposed intervention, the cost implications, and the actual effect on the marginalized children and families. The pilot project simulates the effect of a proposed change in policies or plans by Government, and helps to provide *evidence* and make the case for those changes. Over the period of a country programme, several strategies might be piloted or otherwise researched in order to provide Government with a choice of policy options. It is important to formulate and document the pilot project as precisely as possible⁶⁹.

44. Development of adequate strategies for a particular situation is not a desk exercise. Programme planners and managers need to get close to the people who are poor; and UNICEF programmes must provide empirical evidence that it is possible to reach marginalized people. Involvement of local leaders and participatory *micro-planning* is often a pre-requisite for far-reaching policy change.

45. It is important to research and understand the coping mechanisms of the marginalized groups, or the larger community in which they live. Interventions must not inadvertently undermine those coping mechanisms and must increase rather than decrease dependency on development or humanitarian aid. Furthermore, by building on those coping mechanisms – and strength of the marginalized groups – the likelihood of success might be increased⁷⁰.

46. Country Offices which assist programmes with an explicit focus on reaching specific marginalized groups (e.g. language group) may consider the advantage of hiring representatives from those groups for staff or temporary positions.

⁶⁹ Guidance on how to plan and support implementation of a pilot project is available in the PPPM Chapter 6, Section 16.

⁷⁰ This does obviously not apply to not sustainable coping mechanism, such as deforestation.

47. Special protection interventions for victims of exploitation, abuse and neglect (e.g. trafficked children, children performing hazardous work, street children) do not substitute for addressing the marginalization of the population group from which they come.

48. The wider implications of strategies for reaching marginalized children and their families should be considered, within the local or national context. For instance, in order to avoid envy and increased tensions, strategies for reaching displaced people need to consider whether the local population in the same areas enjoys the same access to services the programme is trying to provide to the displaced persons⁷¹.

49. Following the review of State Party reports, the CRC and CEDAW Committees will normally make recommendations to governments for increased attention to the rights of the most marginalized; the Committee may also include recommendations for specific action, which should be considered in UNICEF assisted programmes and advocacy.

Strategy 1: Exemptions and Subsidies

50. Many people lack effective access to services or benefits, because of otherwise sensible rules and regulations meant to contain unit costs or quality standards. This strategy proposes to make exceptions to standard procedure, or to allow exemptions from certain provisions. The cost implications of any of these measures would have to be carefully estimated beforehand.

In rural communities of Nepal, a water tap (tap stand) is usually located at such a place that it can serve 10 households (HH), so that the horizontal and vertical distances to be traversed by a household to a tap stand will not exceed 150 meters and 50 meters, respectively. In scattered settlements, a system with 7 HH/Tap will cost 6 per cent more than the same system with 10 HH/Tap. A system with 5 HH/Tap would cost nearly 14 per cent more in comparison with a 7 HH/Tap system⁷².

51. UNICEF can help to formulate such exemption rules and criteria, especially when funding support – including from donors – can be obtained for the capital costs. It is important to make such exemption rules part of the policy, and assign accountabilities for their execution.

Education policy may prescribe a minimum number of students before a classroom is built and a teacher's salary and allowances are paid. To support school construction and later maintenance for a smaller group of children, an exemption rule to this policy needs to be created. The district education officer is accountable for this rule to be applied.

52. User fees are another major barrier for – especially income-poor – groups to obtain a service. Authorities are reluctant to waive fees for certain groups, because the fees may (or may be thought to) serve a real purpose of supporting the provision of services. Officials may also fear abuse (non-eligible persons claiming the same benefits). UNICEF assistance may help to assess whether fees are really necessary for basic mass services. If a fee-based system is to be maintained, one policy option is that Government subsidizes the user fees to the institution. Criteria for eligibility will have to be drawn up, and a scheme for subsidies to the institution agreed upon (e.g. through direct

⁷¹ Experience from Somalia

⁷² See *Proceedings of the 22nd WEDC Conference, Reaching the Unreached*, [Cost optimization in rural gravity schemes](#)

payment on behalf of the client, or through lump sum payments or other benefits directly to the institution).

53. The same principle of subsidizing user fees can also be applied to lowering indirect costs for eligible groups, though procedures may be more complex and eligibility more difficult to assess. In many situations, the costs of targeting might be higher than simply providing for a blanket distribution of services or benefits to all members of the community

For instance, in Mexico and Brazil, poor families receive cash incentives to compensate for indirect costs of lacking labour when they send their children to school. In other countries, food rations are provided. Because it is difficult to establish hard and fast criteria, the benefits are often given to all families that send children to school.

54. The administrative costs and other implications of any exemption policy or subsidies would need to be carefully assessed, and politically supported, e.g. through a committee or task force in the concerned Ministry.

55. Exemption rules – including precise eligibility criteria - and subsidies need to be widely publicised and communicated, especially to the concerned marginalized groups, institutions, service providers and supervisors. As part of the communication strategy, service providers should be requested to advise clients on the availability of free or subsidized services.

56. Especially in Eastern and Southern Africa, the role of identifying the most vulnerable and marginalized children is often assigned to village committees. Members of these committees may intervene on behalf of an eligible child with a service provider trying to collect fees. They may also be in charge of the administration of special funds to pay such fees for eligible children⁷³.

57. Compliance with exemption rules need to be monitored by the supervising authorities (e.g. school inspection, district health authorities), perhaps with the assistance of UNICEF. For instance, where the policy option of waiving user fees exists, inspection mechanisms need to monitor that service providers do not give preference to paying clients.

58. For remote and isolated communities, provision of qualified services (e.g. teachers, nurses) might be difficult if staff cannot be recruited from the area. And even so, better educated staff earning a regular salary might be attracted to towns with better amenities – and possibly higher salaries due to local post adjustment. UNICEF programmes can assist in researching policy options that may consider salary differentials between remote areas and the economic centres, or public service conditions (e.g. human resource and career policies) that promote service in underserved areas. Findings of such research would make an important input into national civil service reform projects, sector wide approaches, and PRS.

⁷³ See: *UNICEF Efforts to Address the Needs of Children Orphaned and Made Vulnerable by HIV/AIDS, Lessons learned from Tanzania, Rwanda and Swaziland (draft, 2004)*

Strategy 2: Strengthening Solidarity

59. In some situations, a policy of waiving or subsidizing fees may inadvertently deepen resentments of paying clients against those who don't pay. Paying clients may feel that they are subsidizing the costs of the service to the poor, or that the quality of service becomes poor because not enough revenue is generated.

60. A more refined strategy attaches conditionality to the receipt of Government subsidies or capacity development funds, based on the demonstration of solidarity with the most vulnerable. The development intervention basically “over-subsidizes” institutions for any service provided to the non-paying clients, or – in other words - development investments are paid out to institutions in the form of subsidies. For the institution and the concerned community, the non paying clients (e.g. orphans, extreme poor) become an asset. Institutions may seek, rather than avoid, poor clients.

For instance, a kindergarten charging user fees from parents will be entitled to support from the district administration (e.g. training courses for the child care workers, teaching and learning materials, materials for improving the safety or hygiene of the premises), only if they allow a minimum number of orphans to attend free of charge. The fees of the paying parents pay for the teacher's salary, but for showing this solidarity the teacher can upgrade her skills, the kindergarten is better equipped and a safer place to be – and will become more competitive and attract more paying clients. Orphaned children are becoming an asset to the kindergarten community.

61. Such a strategy would be self-targeting, and may avoid the additional costs and creation of resentment if the poor were to be directly subsidized without any visible benefit to the remaining population. Development funds are used to construct mutually enforcing systems across levels of society (e.g. orphans, foster parents, better-off groups, private service providers, extension workers).

62. Where services are provided through the private sector, insurance systems – including *micro-insurance* – can provide a complementary strategy for improving equity of access to health care for those excluded by many factors, including substantial costs of care and drugs, under the table payments and the cost of travelling, especially from rural areas. Micro-insurance schemes have been set up recently especially in West Africa, but also in East Africa, Bangladesh and Latin America⁷⁴.

Strategy 3: Increasing user-friendliness, removing barriers

63. Making service more user-friendly can go a long way towards ensuring utilization by marginalized groups. A marginalized person seeking a service and being rebuked may give up and not seek the service a second time. UNICEF can help to systematically analyse a service for potential barriers⁷⁵. Often, this strategy requires attitudinal changes among service providers, or relaxing bureaucratic requirements such as forms and ID cards.

⁷⁴ From the UN agencies, ILO has been most active so far in reviewing and assisting social health insurance. See: [Financing Health Care Services](#), ILO

⁷⁵ This strategy has found already wider recognition in the delivery of adolescent friendly health services.

10% of Bolivians, or approximately 70% of the poorest and most excluded population, lack official documentation which allows them to access services, inherit land, put their children in school, or vote⁷⁶ ...

Fairly simple administrative or legal reforms, backed by supervision and training may be part of the solution. The effects of gender bias (e.g. by male service providers or administrators towards women) should be considered.

64. It may include the reduction of incidental or indirect costs of the service (including through avoiding long waiting hours, or shifting service hours so that people can attend who otherwise cannot afford to skip school or work). Where identified as an issue, service centres should establish transparent policies for admittance (e.g. first come, first served).

65. Removing entry hurdles and hassle, taking into account varying literacy among clients as appropriate, can also help marginalized people to seek a service. Admission or application procedures can be made less cumbersome. Local language provisions may be required, including, where needed, in necessary forms and applications. Language barriers can be overcome by hiring a mix of staff able to speak the local language. Communications should foster respect for the client by service providers. Preparation and use of learning and teaching materials in local languages, at least in lower primary classes, is of importance. If possible, several services should be combined into one service point.

66. The anonymity of services must be considered of highest importance (especially in the case of health services, counselling or protection services), and corresponding standards for service delivery should be established and monitored. Fully anonymous services should be considered for those who otherwise would not attend (e.g. street children, drug addicts, commercial sex workers).

67. Where appropriate, the duties of service providers should be included in the job descriptions of staff, and service standards and expectations should be made known and publicly accessible. Appropriate complaint or redress channels should be made known, such as the officer-in-charge of a service centre to be contacted, how to make suggestions for improvement of the service, or how to file a complaint. Obviously, the system of service provision must be ready to accept critique and suggestions for improvement⁷⁷. Conversely, outstanding staff or service providers can be publicly recognized.

68. Service provider and managers need to pay attention to the dignity of clients and also address harassment of poor clients by others. For instance, children of minority groups may be mocked or bullied in class – or girls by boys - and teachers would have the duty to address this through discussion in class, and with the parents. Such a strategy may need to be combined with a wider communication strategy in the concerned communities.

69. Service friendliness and compliance with agreed standards of service should be a key item in management plans of supervisors and/or inspectors.

⁷⁶ *How Can Development Policy Reach and Assist the Poorest? A report to DFID*

⁷⁷ Surveys to establish user satisfaction with a service could also be considered, but are unlikely to produce significant information on the views of marginalized groups (who do not fully access a service, and hence do not fully participate in the survey)

Strategy 4: Sustainable Outreach and Bundling of Services

70. A service, which is less in demand by a certain population, can be bundled together with services that people want most. This basket does not need to come from a single sector.

For instance, in Southern Sudan, child vaccination programmes were combined with cattle vaccination against Rinderpest, a programme that enjoyed vastly more popularity and access. This combination was particularly successful as young children typically lived in the cattle camps, and the cold chain logistics for veterinary and child vaccination programmes were similar.

71. This strategy is particularly suitable for immunization programmes, or generally public health or education services that actively seek to reach the entire population because of public health consideration or the public good (e.g. to achieve group immunity, and control or eradicate disease). These services cannot afford to wait for people to seek out the service when they are sick, or need other assistance. Often, these services can be delivered through a campaign, though not always reliably, or not in a cost efficient manner.

According to WHO⁷⁸, the following three hard-to-reach groups seem to participate well in National Immunization Days:

- *Populations living in peri-urban areas and other areas with usually good physical access to health services who shun contact with government services of all kinds, characteristically fail to register their child births, and make no contact with immunization services*
- *Rural populations who are nomadic or seasonally mobile, or live so far from the national infrastructure that they make no contact with routine immunization services. In some areas, health infrastructure exists, but it is so skeletal, or due to its remoteness functions so poorly, that it has no real or perceived value in providing services to the surrounding population.*
- *Drop outs who, in the case of immunization, would raise coverage by 20% if immunization schedule would be correctly completed.*

This also leads WHO to conclude that “Africa has reached its limits in coverage possible through static services”.

72. *Managerial and administrative improvements* may be successful in providing typical outreach services to physically accessible populations, especially within the context of decentralization and integration. For instance, where services exist, the use of each contact with the client can be maximised to deliver multiple services.

73. *Operational innovations in outreach operations* might be needed for the isolated or remote communities, especially when operating through campaigns. This may involve rethinking of what needs to be done in terms of:

- interval between contacts;
- simplification of outreach (e.g. cold chain strategy);
- new technologies (e.g. communication technology);

⁷⁸ WHO: *Sustainable outreach services (SOS), A strategy for reaching the unreached with immunization and other services, 2000*. See http://www.who.int/immunization_financing/tools/en/. (This WHO guideline is targeted at immunization service managers and health planners, and outlines a stepped approach for developing a strategy for reaching the unreached populations).

- changing the age bracket of target groups (possibly greatest importance);
- choice of additional, bundled interventions;
- variations on the campaign strategy, each with their advantages and disadvantages⁷⁹:
 - NID strategy: temporarily constituted teams who visit the entire population on a single day or series of days
 - Permanently constituted teams provided with transport who make extended circuits during which the entire population is visited
 - Sub-national NID strategy: temporarily constituted teams in a single region for a day or series of days

Strategy 5: Micro-Planning and Satellite Services

74. Support to micro-planning, if coupled with sufficient decentralization or devolution of authority and resources, might result in more inclusive service provision. Services in remote or marginalized areas may be poorly managed and supervised, and strengthening the capacities of the managers of services is a key strategy. In most cases, this may require assistance to the development and follow up on district level or local work plans.

75. Micro-planning entails that a Country Office has the staff resources, and is successful in advocating for the participation of government staff and community representatives in the preparation and review of district level or village level health, education, water, or other development plans. Micro-planning often involves local surveys and employs mechanisms for community-based monitoring, mapping of village population structures, establishment of village registers, the identification of volunteers to assist in local data collection or social mobilization activities, or the preparation of village plans of action⁸⁰. As a single country office or programme is unlikely to cover all concerned communities, it is important to carefully document the strategies and results, in order to influence regional or national policy to ensure wider application.

76. The institutionalization of advisory councils to the local management of services (e.g. school boards, local health committees) is a viable option to increase the participation of the local community. However, such councils are more likely to be effective in improving the quality of a service, than in extending its coverage.

77. Where governments may be unable (for instance because of the lack of teachers willing to work in very remote areas) to extend regular services to marginalized populations, services have been “locally adapted”, sometimes with compromises in the range or quality of services offered. Such adaptation should be understood as a strictly temporary solution until full quality service coverage can be established.

78. Locally adapted services can include the establishment of satellite schools, or mobile health workers or health workers working from home. For instance, satellite schools would only cover 2 or 3 lower primary grades, and help to overcome problems of distance for young children.

⁷⁹ *ibid.*

⁸⁰ See “reaching the unreached” site on the UNICEF [HRBAP website](#) (e.g. Uganda, Tanzania, CAR, Togo)

As part of the Child Friendly Policy Initiative in Kolkata, a Child Protection Card is issued to a child with inadequate family support who lives on the street. Police officers have been sensitised to the rights of those children, and of establishing stronger links with protection services. Health services are available in police stations every Sunday morning⁸¹.

79. Often, people from the remote-living or marginalized group are trained as para-professionals (they may lack adequate formal education to be trained as full professional). Community based health workers may only have limited training and access to a limited range of medicines. Satellite schools and community based health workers are meant to facilitate first-contact with the education or health services, and refer clients to the full service as needed. UNICEF programmes may assist in piloting such schemes, to test whether they not only provide the most essential services to the marginalized clients, but also help to ensure access to the full service as required (e.g. referral to health centres and hospitals, transition from satellite schools into full primary schools).

80. Any such proxy-services should be properly institutionalized to ensure sustainability. The responsible ministry needs to commit itself to such a system of para-professionals and provide the necessary budgets. There might be resistance from professionals within the ministry, or from professional organizations to accept such workers. Remuneration schemes need to be developed and agreed. Considerable resources need to be allocated for supportive supervision and motivation, to ensure a minimum quality of the services. Where supplies are involved (such as essential drugs), the supply chain should work as well as it does for the mainstream service.

81. It might also be possible to contract service delivery out to the private sector or non-governmental organisations. If the service entails more than a one-off installation of infrastructure (it rarely does, as infrastructure will need to be maintained), a UNICEF financed programme can demonstrate the viability of such an option, but will have to propose the ongoing financing of these services from regular Government budgets, in lieu of directly providing the services.

In Ghana, the involvement of NGOs and Private Sector as “Partner Organizations” in the delivery of water and sanitation services was tested and documented⁸². Half of the organizations were especially created for this purpose. In spite of teething problems, overall progress was considered satisfactory.

Strategy 6: Out of Sight, out of Mind – Participating in Administrative Proceedings

82. Children and families also remain marginalized because they have no representation in regular decision-making fora. With limited budgets, government officials have to take tough decisions. An urban school in need of renovation might get preference over building a new school in a remote or peri-urban area – not because of ill will, but because the officials may not have visited the area without schools. Out of sight, out of mind.

83. Where political will is present, and where a general positive policy and legal framework exists, it might still be necessary to influence management and administrative proceedings of ministries or institutions. Marginalized children and families usually have no representation in those decisions, nor do development agencies. One needs to know when the requisite meetings take

⁸¹ See: *Poverty and Exclusion among Urban Children*, Innocenti Digest No. 10, November 2002, UNICEF

⁸² [Watsan delivery – private sector involvement](#): Paper submitted to the 22nd WEDC conference, India 1996.

place where the issue can be put on the agenda, when and where budget or locational decisions are taken, and one needs to suggest technically sound solutions. This requires “technical” advocacy perhaps more than political advocacy, although decision makers should be reminded perpetually about their accountabilities towards their marginalized clientele.

84. Where attention to marginalized groups has not yet been mainstreamed, the creation of a taskforce within the concerned ministry has proven to be helpful, charged with translating good intent (as perhaps expressed in existing policy, such as a PRS) into action-specific programmes. Such a task force should not be set up primarily as a conduit for UNICEF funds or advocacy, but should have a clear mandate to “work the system”. The participation of representatives from the marginalized groups in such task forces helps to focus on the reality of these groups, to promote wider consultations with marginalized children and families, and to assess effect of the programme or policy changes. UNICEF assistance may cover the participation (incidental costs) of their participation, as well as some of the costs of research and documentation.

For instance, in Namibia, the Ministry of Education created a ministerial taskforce for educationally marginalized children (EMC). The taskforce consisted mainly of Government officials, and UNICEF and a few NGOs were invited as observers, participated in the proceedings but not in decisions. UNICEF funded the participation of representatives of the marginalized groups, documentation of reasons for their educational marginalization, and research into policy options.

Strategy 7: Strengthening Political Participation and Representation

85. There is usually no strong political representation of marginalized groups exactly for the reasons they are marginalized: remoteness, minority status, impoverishment, family breakdown, lack of information, lack of self-organization and lack of access to the “centre of power”. For instance, in some countries tribal chiefs from minority groups might not be recognized as *Traditional Authority* with the same status as those from majority groups.

86. To strengthen the capacity of marginalized people for political participation and representation (as distinct to advocating on their behalf) is a powerful strategy. This might be easier when the groups are homogenous and trust their leaders. Some human rights organizations specialize exactly in this type of work. It should be considered whether it is necessary and opportune to “go to the capital”, or whether issues can already get resolved at the level of the local, municipal or district office. UNICEF can help in assisting with transport or in establishing an office, access to information and communications, strengthening negotiation skills, and in setting up meetings and appointments or – more generally – providing a non-threatening platform for dialogue and participation⁸³.

87. Strategies to strengthen political representation of *indigenous people* – including through creation of specific legislation – have been pursued with success, particularly in Latin America and elsewhere⁸⁴.

88. Provided their members share a feeling of commonality, it might be worthwhile to consider strengthening the leadership of the marginalized group in order to motivate and mobilize the

⁸³ See also the Guidance Note on Promoting Participation, in the PPP Manual, Chapter 13.

⁸⁴ See: Ensuring the Rights of Indigenous Children, UNICEF IRC, Innocenti Digest No. 11

communities, to facilitate collective learning, and help to organize themselves to demand and support access to services for their children. A strong demand for a service is a strong driver to ensure sustainability, assuming that overall capacity exists for its provision. Often, government officials might be reluctant to promote the demand for a service that they are not sure can be delivered.

89. Many issues on the mind of aspiring leaders and politicians might not necessarily be directly related to UNICEF's concerns (i.e. land use and ownership, equality in employment, historic entitlements to natural or other resources, environmental issues), and Country Offices are advised – while liaising with those assisting in such specific issues - to move within the realm of UNICEF expertise or mandate⁸⁵.

Strategy 8: Bridging Cultural Gaps and Prejudice - Mediation and Communication

90. Much of the marginalization of particular ethnic groups (or caste, and sometimes economic or occupational groups) has its origin in belief in one's own cultural superiority, and lack of understanding of the need for co-existence of varying sets of cultural values. Lack of empathy for economic deprivation, derogative remarks, stereotyping, mistaken assumptions and prejudice all conspire to alienate members of the marginalized group, deterring them from seeking services from or mingling with members of other population groups. While full recognition of one ethnic group being equal to another will only be achieved once vocal, educated representatives are able to fully participate in political, economic and cultural life, strategies need to be employed that break down resentment and create an understanding for cultural differences.

91. When seeking services, children and families from minority groups may face discrimination and threats which *per se* would require little or no cost outlay to remove, if supported *inter alia* by a communication strategy that links supportive policy makers, interest groups, media and civil society. Written or spoken communications should be phrased to foster mutual respect among all population groups and between service providers and clients.

92. Similarly, children and families from ethnic minorities may have to adjust to alien procedures (for instance classroom routines), and service providers need to be understanding of such special needs. Service providers working in “social hot spots” or areas close to marginalized groups may need specialized training for responding to the needs of their clients, explaining the purpose and functioning of a service, or in facilitating exchange with marginalized groups on the quality and relevance of the service. This in fact, may also apply to “city-based” technicians or engineers trying to identify solutions for remote living rural communities.

*Community management is at its best when technical personnel undertake **social preparation** as integral of water supply and sanitation programme. At the beginning, the engineers were ambivalent, pessimistic and outright hostile about the ability of beneficiaries in undertaking construction work, and managing the completed system. ...Hence it is vital to have a clear and detailed methodology that describes step by step the procedure for both staff and members of the community, including their roles, responsibilities and activities, for making water supply and sanitation programme meaningful, effective and sustainable...*⁸⁶

⁸⁵ A car provided to a local leader for follow up on school dropouts might primarily be used for solving land-issues, if this is – for the leader – the more pressing issue.

⁸⁶ [From Community Management and Socializing Engineers](#), Paper submitted to the 22nd WEDC conference.

93. In order to bridge distrust and cultural barriers, a wide alliance as possible of governmental organisations, media, faith based organisations and NGOs should be sought. Existing traditional alliances should be strengthened. Young children and adolescents can be important agents of change, and in-school and out-of school programmes can be developed to bridge cultural gaps and establish trust. Given an overall agreement on the causes of marginalization and policy, partners can mediate between marginalized groups and service providers, pursuing empowering strategies rather than charitable but depriving hand-outs.

Strategy 9: Strengthening the Capacities of Communities and Families

94. This strategy includes several complementary suggestions to strengthen community capacities – or the capacities of marginalized children and their families – to access certain services or benefits. Community capacity development is always a desirable strategy, however care should be taken not to inadvertently introduce hidden fees or taxes especially for people who are poor. It would not be fair to ask people who are poor and live in a remote area to provide the labour for digging a well or constructing a school, while those who could pay for the service get it for free, because they happen to live close to a major town.

95. Community based strategies are defined as strategies that allow community decisions over resources earmarked for certain services, rather than asking service providers to make those decisions⁸⁷. Communities are - in principle – in the best position to identify the poorest of their members, or the most vulnerable (e.g. orphaned children, children with disabilities, cases of domestic violence or child abuse). It should be noted, though, that this is not always the case, and that projects relying on community participation are often dominated by elites. Both “*targeting and the quality of the intervention tend to be markedly worse in more unequal communities*”, especially when facilitators are poorly trained in rapidly scaled-up projects⁸⁸. Such observations should not necessarily be a deterrent to testing community-based programmes meant to reach marginalized children and their families; but monitoring and evaluation system should be in place to make sure marginalized children and their families are reached as planned.

96. Community support networks remain a strong force, especially in sub-Saharan Africa⁸⁹, where many development programmes continue to rely on existing or purposefully created village committees for delivering services. Many of such committees, including the ubiquitous funeral committees, are specifically intended to support weak community members. Often, several village committees exist side by side. These are often upheld by the same socially concerned individuals – mostly women with thorough knowledge about families and individuals in poverty or acute distress, often far beyond the immediate village environment.

97. Programme planners may have to research, and possibly pilot, whether the creation of new committees is advisable, or whether existing groupings can perform additional tasks.

⁸⁷ A separate guidance note exists on increasing *participation* by children and adolescents – PPP Manual, Chapter 6, Section 15.

⁸⁸ Community-Based and –Driven Development: A Critical Review. The World Bank Research Observer, vol.19, no.1.

⁸⁹ Community Support networks exist in other parts of the world – however, the documented experience from sub-Saharan Africa is particularly strong and convincing.

Strengthening and supporting community committees is an important, but time-consuming strategy, and can normally not be fast-tracked.

98. *Social Funds and delivery of material goods.* One widely tested approach is to seek the involvement – and ultimately the decision - of the community in identifying the most vulnerable children, and arrange for the delivery of pre-identified goods or services, such as clothing or shelter material for orphans. On a wider scale, community committees can be involved in decisions over the use of special funds (e.g. social funds, such as the World Bank funded MASAF⁹⁰), or the distribution of emergency relief goods. While UNICEF resources may often be insufficient to provide the funds or goods on a sustained basis – these would normally be financed through larger grants or, ideally, as part of the government budget – UNICEF programmes can assist in piloting such schemes, help to conduct participatory research on the most suitable criteria for assistance, and provide training and confidence building measures, and communication support.

99. Reliance on community structures or local decision-making for distribution of external resources to the most vulnerable may work particularly well in homogenous communities. In any case, the success – including the sustainability – of any such interventions should be monitored. UNICEF may assist in identifying suitable monitoring mechanisms that provide the needed assurance to Government authorities, that the provided funds or goods are used as intended and are reaching the marginalized people.

Operation Lifeline intended to provide seeds to farmers in Southern Sudan who were left without sufficient grain for planting. The seeds were left with the local headmen. During monitoring visits, it transpired that the headman had distributed the seeds to the wealthiest farmers. The headman explained that these successful farmers were more likely to produce a reliable crop than those who had lost their crop during the last season. However, the crop would be distributed equitably so that everyone would have enough. Due to population movements and access problems it was not possible to verify whether the later harvested food was indeed shared with the poor farmers.

100. *Outreach through local community based organizations.* In societies with strong traditional systems of mutual support⁹¹, village committees may be able to reach out to orphans and other vulnerable children, with relatively little input from outside. These committees mobilize cash contributions, organize income generating activities in support of vulnerable members of their community, grow and distribute food, or provide day care for orphans. *Protection Services* for the most marginalized children may also be provided through community based services.

In Swaziland, also building on existing traditional systems, a system of volunteers provides protection, emotional and material support. The Lihlombe Lekukhalel intervene in cases of child exploitation and sexual abuse, provide comfort to the victims, talk to relatives and perhaps perpetrators, possibly inform law enforcement, and are able to access community funds in severe cases of material hardship⁹².

101. Community based support systems are more likely to be sustained if built on traditional structures, are supported by the local leadership, and linked to government (or municipal) administrative management systems. Accountability is strengthened when those in charge of new

⁹⁰ Malawi Social Action Fund

⁹¹ e.g. in much of rural Eastern and Southern Africa

⁹² See: *UNICEF Efforts to Address the Needs of Children Orphaned and Made Vulnerable by HIV/AIDS, Lessons learned from Tanzania, Rwanda and Swaziland (draft, 2004)*

structures are selected by the community. Still, many experiences report that financial reward of volunteers remains a key dilemma. While no regular salary may be required, it is important that any external support to communities be budgeted and legislated for by Government (possibly at local, district or regional levels), and possibly with long term commitments from larger donors. Furthermore, such – often comparatively minor – resources should be disbursed with as little bureaucracy as is possible.

102. Social Workers. Similarly, the establishment of a cadre of social workers is usually reserved to countries with a sufficient resource base. UNICEF does, at present, not have much documented experience on working with Social Workers. Where social workers exist with specific task such as the administration of pension funds, UNICEF can help to widen the focus of their work to become an effective catalyst for reaching marginalized children and their families with a full package of basic services.

103. Involvement of young people. There is a growing body of experiences of working with young children and adolescents as catalysts for change - especially behavioural change. Programmes involving adolescents (including life skills programmes, leadership programmes) have great potential of reaching beyond the “mainstream” population, and reaching especially vulnerable adolescents (EVAs). The Adolescent Development and participation (ADAP) Section in Programme Division can be contacted for more advice.

104. Non-traditional entry points to services, including and especially protection services. New channels of communication can facilitate first contacts with a marginalized child or adolescent. Examples include telephone hot-lines, drop-in centres, half-way-houses (to facilitate reintegration of delinquents) or similar institutions. In many cases, the personnel of such institutions can be volunteers – especially adolescents - who receive nominal rewards (in contrast to receiving a full salary), or the institutions could be entirely community managed. Any such services should be planned together with the concerned communities.

105. Direct material support to marginalized children can be a catalyst for acceptance of social services. Such programmes may only be affordable to middle income countries, or where long term donor commitments can be secured through donor support to address a particular inequity.

For instance, a Botswana programme for Remote Area Dwellers (RADs) provides transport, hostel accommodation, all school materials, clothing and personal hygiene supplies to children from marginalized ethnic groups. It should be noted that in this example, children are still required to separate from their parents and move into hostels – often creating personal insecurities and anxieties, and possible alienation from their own families and culture.

Strategy 10: Strengthening Access to Justice and Legal Aid

106. In several countries, UNICEF supported efforts to facilitate access to justice by marginalized children and their families. One strategy is to strengthen “Legal Aid” organizations – often associations of legal professionals - providing counselling or legal services to poor people. A poor person or a woman winning a legal battle – for instance over a land dispute, or cases involving domestic violence - can have significant ripple effects for larger marginalized populations.

107. Legal resource centres can be strengthened to provide counselling to marginalized people, and to review the existing legislative framework, including traditional law, and suggest improvements to legislators. UNICEF may support research by such institutions into traditional law and practices related to inheritance by widows or children orphaned by AIDS. As a consequence of such research, advocacy and building of partnerships, special laws may be created to ensure attention to the rights of marginalized children and their families. For example:

- *Bulgarian law on Care centres for homeless children (1995)*
- *Bolivian legislation which creates the National Mother and Child Insurance Scheme (1996) under which public hospitals and health centres provide free care for all mothers during pregnancy, childbirth and the post-natal period, and for all children up to five years of age*
- *China's Protection of the Disabled Act*

108. Legal resource centres or “Legal Aid” organization can help to spread knowledge about rights, advocate for decentralized location of courts (if a Court is only in the capital, access to justice is significantly impaired), and enforcement of court decisions.

Monitoring and Follow up

109. Having defined the focus on marginalized children and their families in the Country Programme Document and Country Programme Action Plan, Annual Work Plans need to carry the commitment through. Annual Reviews are a good opportunity to bring back the focus (if lost during the year). Corresponding monitoring indicators should be included in multi-year and annual IMEPs.

110. Most strategies to reach marginalized children and their families require affirmative action, or an extra-ordinary effort on the side of legislators, national and local planners, policy decision makers, managers at all levels of a service, service providers, and often the communities themselves. These extra-ordinary efforts need to be particularly well monitored, before officials, legislators, or service providers slip back into their daily routine. Therefore, each strategy or policy for the marginalized groups needs to have a built in system for monitoring compliance to policy provisions, commitments, service standards and new behaviours - at least until access to services by those groups has become the routine.

111. Therefore, any relevant piece of the new strategy or policy should be mainstreamed into the respective frameworks: as a key element in the job descriptions of service providers, as a criterion for the standards of service provision, as an element of the institutions mandate or mission statement, as a standing item in the work plans of managers and administrators, as an item in national or sub-national programmes to be reported on, as a key element of policies subjected to periodic review. In all areas, the respective commitment to increasing access to services by marginalized groups should be become a critical item for performance measurement.

112. In some countries, special committees or councils exist with special mandates to advise on issues related to minorities. Country Offices may consider further capacity development measures, especially on systematic monitoring and reporting. The institutionalization of special task forces or other bodies responsible for monitoring access to services by marginalized groups should be considered. Periodic follow up surveys (possibly for funding by development partners) should be scheduled.

113. The views of representatives of marginalized children and their families should be periodically sought, to establish adequacy of the provided services in relation to their needs.

114. The continued access by marginalized children and families to quality basic service requires long-term involvement and commitment, often beyond the horizon of a single Country Programme or project. Preparation of subsequent programmes should be informed by a review on how well – and how sustainably – marginalized people have been reached, and future programmes should build on progress made.

Evaluating Interventions and Documenting Results

114. The current dearth of knowledge on how to provide access by the most marginalized group to quality basic services can only be overcome by analysing and generating lesson from past experience. Because it is an area of interest both to UNICEF and the wider development community, all efforts to improve access to services by marginalized children and their families should be scrupulously evaluated and documented. This applies especially when interventions are piloted for later scaling up, or the effects of suggested policy changes are being tested. Applicable guidance on evaluation should be consulted.

115. In preparation of an updated Situation Analysis on Children and Women, and more generally in setting a research agenda for UNICEF support as a contribution to national knowledge on children, the availability of services or capacity development for marginalized groups would be prime candidates for applied – and hopefully participatory – research.

116. Attention should be paid to establish a credible association between the applied strategies or policy options, and the outcome on marginalized children and their families. This requires the establishment and documentation of a baseline, progress monitoring, and a final assessment with statistical significance. Simultaneous monitoring in a control area or comparison group (where the new strategies are not being tested) can often help to persuade policy makers of the worth of the proposed policy or plan. Costs of initial research, baseline surveys, monitoring, final survey or evaluation, and documentation should be realistically budgeted for.

117. Evaluation should include information on the costs and cost-effectiveness of the interventions, giving due recognition that unit costs of reaching the most marginalized people are always likely to be higher than average costs.

118. When evaluating and preparing a final analysis of the intervention strategy, it is important to consider the influence of positive (e.g. a new access road) or constraining (e.g. overall economic decline) developments on the situation of the marginalized population groups.

Influencing the Wider Development Process

119. Growing UN system-wide action at country level, and common development frameworks and plans such as Poverty Reduction Strategies (PRS) offer unprecedented opportunities to direct needed assistance to marginalized children and families.

120. Country analytical work and development frameworks (including CCAs, UNDAFs, SWAPs, PRS and national development plans) under preparation should be scrutinized for their attention to the provision of services to the most marginalized people. Possible negative effects of proposed plans and policies – including WB or donor agreements with the host country - on marginalized or vulnerable people should be assessed. Country Offices can point out the inadequacy of information and analysis – and contribute with UNICEF supported research. In particular, UNICEF might be able to ensure that the views of the marginalized children and families are documented and considered. Country Offices need to keep awareness of the scheduled preparation of PRS and national plans, in order to be able to contribute and advocate in time.

121. Piloting and especially the simulation of policy options and their actual effects on access to basic services by marginalized people can be a major contribution to national policy development and reform, provided the pilot is rigorously planned, executed and evaluated. UNICEF, with its experience in sub-national and community based work and local knowledge, is particularly suited to support such demonstration projects.

122. Country offices can help ensure that good intent (to reach marginalized people) in PRS, national plans, or donor aid is substantiated with the description of specific accountabilities, strategies and budgets. UNICEF programmes can be catalytic for the release of major donor assistance, for instance by developing doable mechanisms for Social Action Funds aimed to reach the most marginalized people, or by supporting specific implementation arrangements.

123. Joint programmes for facilitating access of marginalized children and families to basic services have the potential of combining and focusing the expertise of several UN partners. Country Offices should watch out that joint programmes do not lose the focus on the most marginalized.

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Annex: Operational definitions of deprivation for children

Deprivation	Mild	Moderate	Severe	Extreme
Food	Bland diet of poor nutritional value	Going hungry on occasion	Malnutrition	Starvation
Safe drinking water	Not having enough water on occasion due to lack of sufficient money	No access to water in dwelling but communal piped water available within 200m of dwelling or less than 15 minutes walk away	Long walk to water source (more than 200m or longer than 15 minutes). Unsafe drinking water (e.g.) open water)	No access to water
Sanitation facilities	Having to share facilities with another household	Sanitation facilities outside dwelling	No sanitation facilities in or near dwelling	No access to sanitation facilities
Health	Occasional lack of access to medical care due to insufficient money	Inadequate medical care	No immunisation against diseases. Only limited non-professional medical care available when sick	No medical care
Shelter	Dwelling in poor repair. More than 1 person per room	Few facilities in dwelling, lack of heating, structural problems. More than 3 people per room	No facilities in house, non-permanent structure, no privacy, no flooring, just one or two rooms. More than 5 people per room	Roofless – no shelter

Deprivation	Mild	Moderate	Severe	Extreme
Education	Inadequate teaching due to lack of resources	Unable to attend secondary but can attend primary education	Child is 7 or older and has received no primary or secondary education	Prevented from learning due to persecution and prejudice
Information	Cannot afford newspapers or books	No television but can afford a radio	No access to radio, television or books or newspapers	Prevented from gaining access to information by government, etc
Basic social services	Health and education facilities available but occasionally of low standard	Inadequate health and education facilities near by (e.g. less than 1 hour travel)	Limited health and education facilities a day's travel away	No access to health or education facilities

Section 21: Integrating Legislative Reform into the Programming Process

The nationally-led programming process should address the legislative framework in the context of human rights realization. For UNICEF, this means an emphasis on analyzing legislation and policies, and their implementation, from the perspective of children and women and promoting realization of their rights.

Build on the existing planning process when determining national capacity gaps and activities to support and implement legislative reform. To the extent possible, collaborate with other UN Funds, Programmes and Specialized and Non Resident Agencies, through joint programmes. Consider possibilities for supporting legislative reform through existing Sector Wide Approaches and identify UNICEF's role, which could include technical assistance, convening role or funding. This should be done through the UN Country Team so that UN efforts are well coordinated in support to the SWAp. UNICEF's support to legislative reform should be integrated into existing programmes and action to the extent possible rather than running as a parallel exercise.

Comprehensive Work Plan

As the UN Country Team organizes programme preparation work with the government, legislative reform experts should participate in/convene theme groups or sub-theme groups responsible for addressing policy and legislative reform issues. Gaps in the country's legal and policy frameworks are to be explicitly identified. A review of laws and their implementation will be included as a step in the Work Plan and be conducted as part of the joint UN programming process. The UNCT will use the principles of capacity development, gender equality, and the human rights-based approach and evidence-based advocacy in supporting legislative reform.

UN-supported country analytic work

In the process of reaching agreement on the root causes of key development priorities and identifying critical capacity gaps, ensure that legislative reform is included in the preparation of UN-support to country analytic work. This process will include:

- Conducting an assessment of the existing legal system and its gaps and weaknesses relative to the CRC and other international child-related instruments and an analysis of how existing legal framework supports (or fails to support) the realisation of the rights of children;
- Including reference to the concluding observations of the Committee on the Rights of the Child and the concluding remarks of the Committee on the Elimination of all forms of Discrimination against Women (OHCHR can provide good support in this); and
- Pointing out gaps in the legal framework (further addressing issues such as the limits of any legislative reform initiatives, including constitutional reviews, and also assessing their main constraints.

Because several UN agencies are looking at the country situation in this process, this is an important way to get legislative reform in favour of children into the UNDAF.

Where a SitAn is conducted, this assessment and analysis informs the country's other analytic work

The assessment and analysis of the country's legislation should identify gaps which should then be incorporated into the national frameworks such as national and sector plans and Poverty Reduction Strategies.

UNDAF

The key development priorities identified and analytical information gathered above are useful tools for stressing legislative reform in the common planned results and division of labour. These are used to advocate for the inclusion of legislative reform priorities in the UNDAF and Summary Results Matrix, its outcomes, country programme outputs and identify strategic partners. Legislative reform indicators also form part of the Monitoring & Evaluation Plan.

First Joint Strategy Meeting

As part of the meetings to decide on the main programme strategies, discuss and agree with key partners on the strategy for legislative reform. The strategy includes possible participation of other UN Agencies, including Non-Resident Agencies. The Regional Legislative Reform Advisor and f required the relevant HQ Focal Point participates and comments on the strategy for carrying out legislative reform.

Draft CPD

Preparation of the draft CPD should adequately reflect legislative reform in order to secure resources for the proposed country programme involving this area. It refers to MTSP 2006-2009 Focus Area 5 on policy and legislative reform. Include, where feasible, specific legislative reform goals (both incremental and long-term goals) as key results.

Country Programme Management Plan and the multi-year Integrated Budget (CPMP/IB)

In organizing UNICEF's own office, resources and management arrangements, ensure the necessary human resources (internal and external) are integrated into the Plan.

Country Programme Action Plan (CPAP) and Integrated Monitoring and Evaluation Plan (IMEP)

Elaborate on the strategy for legislative reform in the CPAP and indicate (in the IMEP) sources of data for the indicators agreed upon and any evaluations to be conducted

Mid-term review of the UNDAF

Ensure that appropriate partners and experts form part of the MTR and that timely evaluations are done to inform the MTR process. Use CRC and CEDAW Country Reports and Concluding Observations and Recommendations to inform the MTR on the major issues on Legislative Reform