

PROGRAMME POLICY AND PROCEDURE MANUAL

**PROGRAMME OPERATIONS
Revised June 2004**

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) has also resulted in the adoption of new terminology for some programme preparation and implementation milestones. Below, the new 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 5.0, scheduled for release in 2004, will be using the harmonized terminology.

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 workplans (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. OR funds 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 Revolving Fund
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	(1) Convention on the Rights of the Child, (2) Contract Review Committee
CSO	Civil Society Organisation
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
GIS	Geographical information systems
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
JCC	Joint Consultative Committee
MCP	Multi Country Programme
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)
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
PRSP	Poverty Reduction Strategy Paper
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
SIP	Sector investment programme
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 - Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

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

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.2](#)).

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

Central Emergency Revolving 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 goals, objectives and strategy 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 expected 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.

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.

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 workplans (AWPs). Disbursements by UN agencies in support of the activities described in the AWP 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.

Medium Term Strategic Plan (MTSP) –The MTSP outlines the organisational priorities for UNICEF, currently for the period 2002-2005.

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

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 Paper (PRSP) – 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)

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 expected 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.

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.

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 Framework 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 updates in 2002 and 2003 emphasised the organisational priorities of the UNICEF Medium Term Strategic Plan ([MTSP](#)); mainstreamed emergency preparedness and response as a part of UNICEF’s regular work; 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. These updates also added additional guidance, such as on the promotion of participation of children and young people.

2. This third update of the PPPM reflects additional changes resulting from UN reform, including the further elaboration of modalities for Joint Programming; sharpens guidance on the Human Rights based Approach to reflect the consensus – including among UN agencies – obtained at recent global consultations; and provides new guidance, among others, on Procurement Services, Gender Mainstreaming, IMEP, fundraising, and pilot programmes. All recent 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 selectively with 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 Executive Board decisions, Executive Directives (EXDIRs) and Programme Directives (PROs).

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 UNICEF's Medium Term Strategic Plan ([MTSP](#)), detailing the five organisational priorities and supporting strategies for the period 2002-2005.

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](#) are available on the [UNDG website](#). Specific guidance for technical areas related to the organisational priorities of UNICEF's [MTSP](#), are contained in [CF/EXD/2002-029](#). 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 [EXDIR/2001-13](#), describing UNICEF's approach to, and operational procedures for collaboration with NGOs and CBOs. Financial Circulars on Cash Assistance to Government ([FC. 15, Rev. 2](#)), 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 will be supported by a revised edition of the Programme Process Training Manual ([PPTM](#)), which will be released in mid 2004. The Training Manual focuses on selected *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. 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. The organisational [Learning Strategy Paper](#), prepared by DHR-OLDS is also available on the Intranet.

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 adjustments 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 workplan 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 other guidance including on promoting participation through programming, and considerations for pilot projects.

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 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](#)).

3. UN General Assembly resolutions, UNICEF Executive Board resolutions and decisions and strategic and policy documents set an overall basis for the work of UNICEF. This section is based on the Guidelines for the Human Rights-Based Programming Approach ([CF/EXD/1998-004](#)), the [agreement](#) 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. 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](#) makes clear, 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.

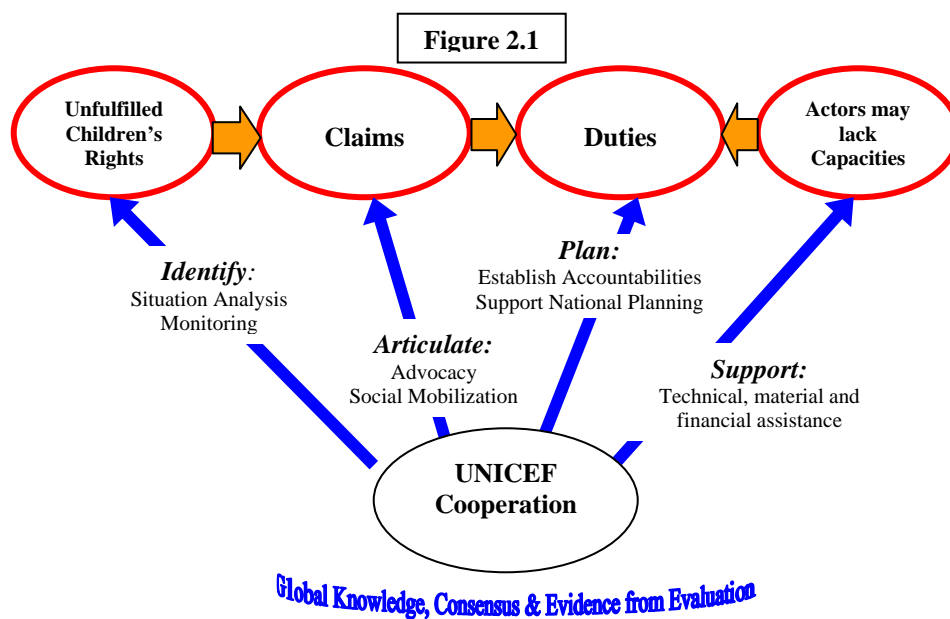
5. In keeping with the [outcome document](#) of the UN consultation at Stamford, a human rights based approach to programming means for UNICEF that:

- The aim of all Country Programmes of Cooperation, including in humanitarian situations, is 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 the last several decades have been

largely consistent with the CRC and CEDAW. Time-bound goals and targets such as those agreed at the 1990 World Summit for Children have been used as measures of this progress, and to motivate action. They remain valid as 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, 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. 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).



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 vulnerable and excluded 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, vulnerable or excluded 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 and communities to discharge their duties 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 and projects 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 denial or violation 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 priority 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 require 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 fulfill 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. • The development process is locally owned. • Programmes support accountability to all stakeholders. • Programmes aim to reduce disparity. • Both 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](#)). 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 project-level response. The principle of indivisibility does not prevent UNICEF from deciding with 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 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), 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.

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 country programmes are based. This principle guides UNICEF in the *selection* of the most relevant goals related to the MDG, WFFC, and MTSP, given its scarce resources. Other Human Rights and Child Rights principles guide *how* programmes for children are implemented, both in progressively meeting these goals in the immediate and long term, and in identifying *who* is not enjoying this right, *why* this is so, *where* these children are located, and how strategies to reach them can be refined.

19. 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 13](#)).

20. The principle of *participation* is an important consideration in programming. Human rights law firmly 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 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.

21. *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.

22. 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 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.

23. 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

24. 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 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.

25. During work in complex emergencies, the following **humanitarian principles** follow 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 an obligation 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 remain under the overall authority and control of the humanitarian organization.

- *Impartiality:* Aid should be delivered to all those who are suffering regardless of their sex, age, ethnicity, or identity. The guiding principle is only 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 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 the donors (that assistance is provided for the intended purpose).
- *Participation:* Relief should build on existing capacities and promote participation.
- *Respect for culture and custom.*

26. The CRC is a powerful tool even 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.

27. 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

28. 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 create demand for public sector accountability, good governance, and inclusive and participatory societies. A particularly good reference on this subject is the [UNDP Human Development Report 2000](#).

29. 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. A human rights approach is based on the premise that there are shared interests between rights holders and those working to help realise rights. 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.

30. The action agendas of a series 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 \(2003\)](#)

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

Achieving results

32. 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 mortality reduction; the right to education includes achieving universal primary education; the right to protection from economic exploitation is supported by the objective of ending harmful child labor, among others. If results are not achieved and sustained, human rights will not be realized.

33. 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 and

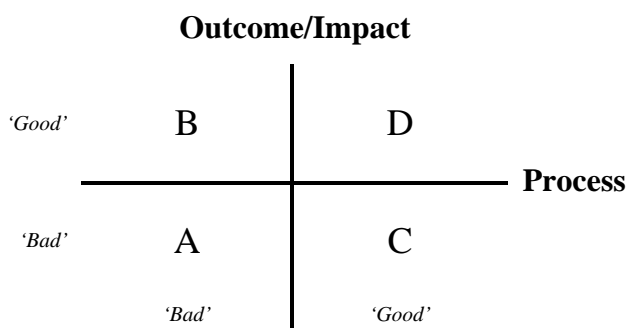
meaningful participation of parents in school management), or most likely a combination of both. Both “impact” and “process” types of results are essential steps in the fulfillment of human rights.

34. A Human Rights Based Approach to Programming also entails that the process by which outcomes and impact for children and women are achieved is 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”.

Outcome and Impact type of results are related to the *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.

35. Many programmes become trapped in one of the two areas represented by B or C. A good outcome or impact 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



Important Considerations for Human Rights-Based Programming

The child as a subject of rights

36. 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 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 13](#) on promoting participation of children and young people).

The role of parents, family and community

37. 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 support the family in these roles and to step in 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

38. 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 through its advocacy based on local and international experience - assist the Government in identifying the most critical problems affecting children.

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

40. Under the current Medium Term Strategic Plan ([MTSP](#)), 2002-2005, UNICEF Country Offices are directed to review and report on the country situation and discuss appropriate prioritisation with national partners particularly in the following five areas:

- Girls' education
- Integrated early childhood development
- Immunisation plus
- HIV/AIDS
- Protection of children from violence, exploitation, abuse and discrimination.

Achieving the maximum with existing resources

41. 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.

42. State Parties' attempts 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 situation analysis and CCA preparation, the UN Country Team and UNICEF 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 policies, the stipulations of the [20/20 initiative](#) provide a widely agreed benchmark.

43. 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.

International cooperation

44. 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 sustainable 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, and reports from state parties that contain a request, or indicate a need, for technical advice or assistance...".

Implications of the CEDAW

45. 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 the understanding that the CRC and CEDAW jointly provide the norms for gender-responsive programme goals and strategies. 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 policies that affect them.

46. 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, such as special policy measures for gender equality in education; legal 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

47. 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

48. 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 building 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 and 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.”

49. The UNICEF-supported situation analysis of children and women and the CCA 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 UNICEF as part of the 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 understand 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

Legislation and customary law

50. 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. 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, coexist 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 budget may affect the realisation of children's and women's rights.

Influencing public policy and policy formulation

51. Public policies should support the realisation of the rights of children and women, within the social development sectors as well as in the economic, budgetary, security and judicial spheres. Public policy can be linked explicitly to the commitments that a State assumes through its ratification of CRC and CEDAW. The following are important considerations for UNICEF's support to shaping public policy:

- whether and how the policy is important for the realisation of particular rights of children and women;
- whether the formulation, as well as the implementation of a policy is consistent with human rights principles;
- whether the policy addresses a human rights claim and clearly identifies the corresponding duties and duty-bearers;
- whether the policy-making and review process allows for effective participation of all the holders of rights, including children, as appropriate, and women.

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

52. A human rights approach implies that programme objectives and results for children are situated within the context of wider goals that seek to change the underlying conditions undermining the realisation of CRC and CEDAW. Thus programmes of co-operation need to find a balance between activities that respond to the urgent survival, basic service and protection needs of children and 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.

53. Provision of essential services such as health, education and access to adequate food, water and sanitation and care are important in ensuring that the social and economic rights of children and women are met. 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 sectoral ministries, local government, private sector agencies, Civil Society Organisations (CSOs) and community actors.

54. 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 women and children are acutely threatened.

55. 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

56. Support to a country for the realisation of children and women's rights requires a 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.

57. Under the country programme approach, UNICEF works with the government, other UN agencies, civil society organisations (CSOs) and other partners in a country to develop and support a programme of cooperation to facilitate the realisation of the rights of children and women. The programme of cooperation takes into account the priority problems facing the country's children and women; the national goals and priorities and those of the UNDAF; the UNICEF mandate and organisational priorities encapsulated in the Medium-Term Strategic Plan ([MTSP](#)); international goals and commitments; the expected contributions of other partners; the comparative advantage and resources of the country office; and past programme experience.

58. The CP is more than just the sum of UNICEF assisted activities. It brings together, conceptually and operationally, all programmes and projects as comprehensive, mutually supporting measures involving different sectors, partners and communities, and often different levels of government.

59. 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 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.

60. 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 an ongoing Situation Analysis of Children and Women ([SITAN](#)), which contributes to the Common Country Assessment ([CCA](#)) jointly prepared by the UN agencies and government. The resultant UN Development Assistance Framework ([UNDAF](#)) positions UNICEF cooperation within the work of the UN system.

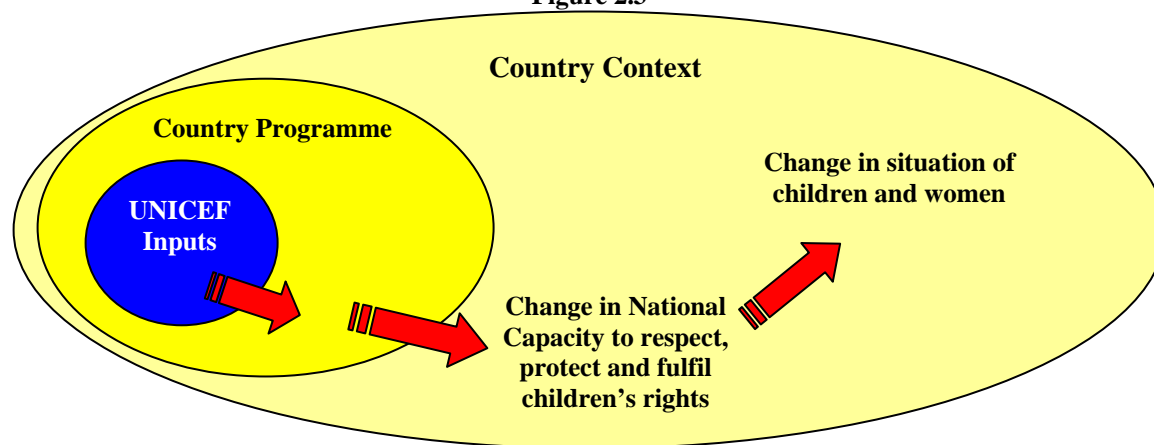
61. Where the programme aims to encourage community-level action, collaboration with adequately skilled and equipped government institutions or CSOs might take place at the sub-national levels (province, district, municipality, constituency or community). Collaboration with local institutions is often important for the analysis of the situation of highly disadvantaged groups, as well as for [pilot projects](#) (see Chapter 6, Section 16), community mobilisation, and

participatory monitoring and evaluation. Through such partnerships, local capacity can be built to sustain and monitor results 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.

62. As illustrated in see 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, 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 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 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



63. 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.

64. 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 PRSPs and SWAp

65. Many countries have already prepared, or are in the process of preparing poverty reduction strategies. Other countries have National Development Plans. [Poverty Reduction Strategy Papers \(PRSPs\)](#) have become the basis of policy dialogue between the World Bank and low-income countries and for IMF and WB loans. Development of PRSPs should be county-led and include broad participation of elected representatives, civil society, the UN system and key donors. The goals and priorities of PRSPs should also reflect the framework, adopted by governments, of the Millennium Declaration and the Millennium Development Goals (MDGs). PRSPs are meant to emphasise sound macroeconomic and structural policies, to be developed in complementarity with social and sectoral programmes aimed at poverty reduction. Improving governance is often an integral part of a country's poverty reduction strategy. Many donors consider PRSPs a good mechanism to ensure better-coordinated use of their assistance. With poverty reduction firmly at the center of the UN's normative and operational work, the PRSPs –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](#).

66. 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 PRSP. 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.

67. 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 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, Sector Wide Approaches or Comprehensive Development Frameworks (CDFs) are expressions of national policies, plans and priorities, including those relating to children and women.

- United Nations agencies, based on the CCA and UNDAF, provide support to Government policies, plans and programmes aimed to fulfill national commitments towards the Millennium Declaration and to reach selected MDGs and other nationally-adopted targets. The CCA can provide analytical inputs into the formulation of the PRSP. UNDAFs should support and complement the national poverty reduction strategy. While formal participation in a PRSP process is not automatic, the UN can share its expertise in normative standards, policy advice, capacity building, field operations and advocacy with governments and other national partners working on their national development plans, PRSPs or SWAs.
- The UNICEF assisted Country Programme reflects the goals and priorities of the UNDAF. The selection of CP objectives and strategies is guided by the MTSP. UNICEF Country Offices should contribute a children's and women's rights perspective in the design and implementation of national plans, policies and instruments such as PRSPs and SWAs.

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

- (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 goals and objectives that will contribute to the realization of rights of children and women; and
- (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.

Resource Management

69. 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.

70. UNICEF normally disburses its resources on the basis of activities agreed with national partners, as described in the Annual Work Plans (AWPs). Where such an Annual Work Plan has

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

- *Parallel fund management*: Each agency continues to disburse through its own mechanisms.
- *Pooled fund management*: A Managing Agent (MA) is selected from among the agencies participating in the Joint Programme or Project. Agencies transfer the planned resources to the Managing Agent, who in turn disburses them to national partners according to the jointly agreed Work Plan.

Annual planning, monitoring and annual reviews of progress for Joint Programmes or Projects will be undertaken jointly by the agencies. UNICEF can assume the role of Managing Agent.

71. In addition, 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. This is referred to as a Pass-through mechanism. UNICEF can assume the role of an Administrative Agent. Funds are either passed on to individual agencies for parallel fund management, or to one agency –called the Managing Agent– for pooled fund management. For more details on Joint Programming see Chapter 3 and 4, and the [UNDG Guidance Note on Joint Programming](#).

Unstable Situations

72. 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 an international response that extends beyond the mandate or capacity of any single agency.

73. Country Programmes of Cooperation should therefore include provisions for the event of emergencies, and be prepared to 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.

74. 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/2000/12](#)). 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 to 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). The CCCs, as revised in 2004, describe a set of programmatic and operational actions, procedures and inputs that UNICEF can be relied upon to deliver the initial phase of any emergency, and establish the following guiding principles:

- Children in the midst of armed conflict and natural disasters such as drought, floods, and earthquakes have the same needs and rights as children in stable countries;
- UNICEF 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;
- The response will be based on nationally defined priorities and UNICEF's comparative advantage.

The CCCs also define UNICEF's operating approach:

- Conduct a rapid assessment to identify priority humanitarian action for children;
- 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;
- Out mechanism is places that prevent and limit the exposure of children and women to abuse, violence, exploitation and HIV/AIDS.

The CCCs further specify UNICEF's commitments:

- *Rapid assessment*: to have the ability to conduct an immediate assessment of the situation of children and women in areas of crisis; and an objective assessment of the measures needed to ensure effective UNICEF country office management of the situation, and of the UNICEF response;
- *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; resumption of schooling. UNICEF will carry out the appropriate interventions unless another agency is already covering them; and
- *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.

75. 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 rights of children. Country Offices should, however, also consider support to a longer-term rehabilitation strategy as part of the CP within the context of a UN system-wide effort.

Countries in Transition

76. 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 of less than 30 per thousand trigger the phasing out of UNICEF programme assistance financed from Regular Resources. [EXDIR 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. Also described are options for UNICEF roles in countries, which have graduated from the receipt of RR programme assistance.

Multi Country Programmes

77. 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 priorities of the MTSP.

Section 3. The Basic Cooperation Agreement (BCA)

78. 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.

79. 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. Account has been taken of 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.

80. 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.

81. Essential issues for programming, which should be covered in any form of the BCA, are:

- There should be a formal request from the Ministry to which UNICEF is attached each time a recommendation for a future CP is made to the Executive Board. This should be accomplished before the revised [Country Programme Document](#) is posted on the UNICEF Extranet, i.e. by latest October 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 finalised [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, and 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.
- All BCAs provide 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), because UNICEF has to report in turn to the Executive Board and funding partners.

82. 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.

83. Engagement with Non-State Entities usually takes place within an inter-agency response, and does not imply political recognition. 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).

84. 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

- Do CP goals, expected results and strategies reflect the organizational focus on support to the respect, protection and fulfilment of children's and women's rights, the organizational priorities of the MTSP as appropriate to the country situation, and the priority focus on those most disadvantaged?
- 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?
- Were the Situation Analysis (SITAN) and CCA developed using a Human Rights-based approach, including with significant involvement of right-holders, and do they draw upon the views of children and women?
- Does the SITAN take into consideration the observations and the recommendations of the Committee on the Rights of the Child and the CEDAW Committee?
- Has vulnerability/capacity analysis been conducted and has the office gone through an emergency preparedness process resulting in an office preparedness plan?
- How is the CP contributing to building capacity, 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?

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](#)
- A World Fit For Children, [WFFC Declaration and Plan of Action](#),
- [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/2003-24](#), 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/2002-08](#), The MTSP and UNICEF Programming
- [CF/EXD/2002-03](#) Changes to the Country Programming Process and Implications for UNICEF Offices
- [CF/EXD/2002-02](#) Implementation of the Medium-Term Strategic Plan 2002 – 2005
- [CF/EXD/2001-13](#) Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2004-xxx](#) (forthcoming) Joint Programming – A Guide for UNICEF Staff
- [CF/EXD/1998-04](#) Guidelines for Human Rights Based Approach to Programming
- [CF/EXD/IC/1995-009](#) Basic Cooperation Agreement
- [CF/PD/PRO/2000-06](#) National Execution
- [CF/PD/PRO/1999-01](#) UNICEF's Role in Sector-Wide Approaches to Development
- 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”)
- [Outcome document](#) of the UNICEF global consultation (in Quito), on the HRBAP
- Implementation Handbook for the CRC
- [Human Development Report 2000](#)
- [The Millenium Declaration](#)
- The [Reporting Process](#) to the Committee on the Rights of the Child: A UNICEF Resource Guide
- [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.

Chapter 3. PROGRAMME PREPARATION

Section 1. The Country Programme Cycle

1. The UNICEF Country Programme (CP) cycle is made up of 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. A harmonized programming process has now been adopted by UN agencies, to facilitate joint programming. The programme cycles of UN agencies should be synchronized with each other and, wherever possible, with the national planning cycle. 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 the modalities for supporting programme implementation are identified.
3. 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 four years are considered to be of "short duration". However, to reduce the overall workload, full-length cycles (defined as four years, 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 existing understanding and 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. This is necessary to ensure that the main causes of the problem are addressed and the expected results can be achieved. Such a Situation Analysis of Children and Women (SITAN) is primarily a contribution to national knowledge. It is often an ongoing process, as more research and data are accumulated on child-related issues over time. Activities which form part of the SITAN process are built into and supported by the Country Programme itself. The topics to be examined should include the organisational priorities of the UNICEF MTSP (see [EXD/2002-08](#)). A summary of the latest assessment and analysis is an input into the [Common Country Assessment \(CCA\)](#), prepared jointly by the UN agencies and government as the first formal step in CP preparation. UNICEF adds value to this process by contributing 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.
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 contributions 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 an UNDAF Monitoring and Evaluation Plan focusing on UNDAF outcomes, related CP outcomes, and major outputs.

6. Based on the SITAN, 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 UNICEF Executive Board comments on the draft CPD and approves the proposed Programme of Cooperation once the CPD has been revised as necessary, together with a Summary Results Matrix.

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

8. The Country Office supports *programme implementation* with 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, 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 basis for reporting to the Executive Board on results from UNICEF cooperation and any changes in programme strategy or design made necessary by the evolution of the situation of children and women. The UNICEF Programme Manager System (ProMS) assists in budget planning and programme monitoring based on [Annual Work Plans \(AWPs\)](#).

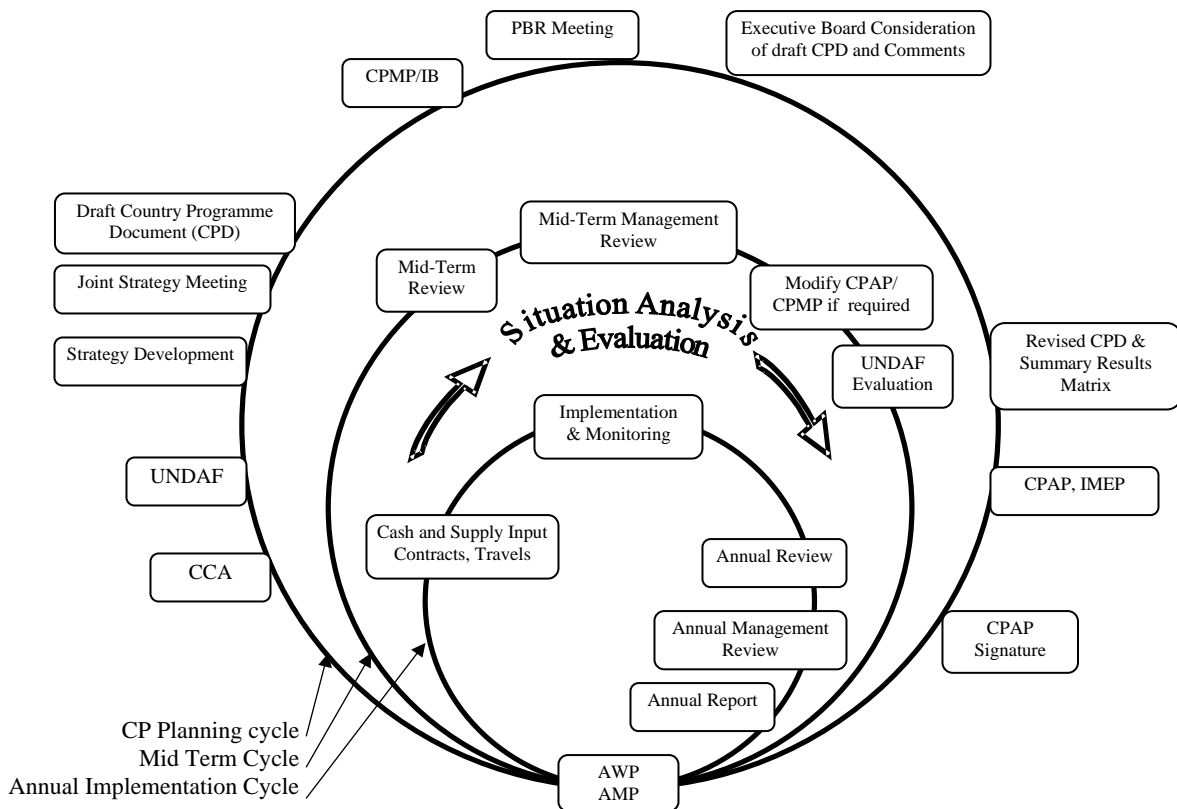
9. *Evaluation* establishes how well programme or projects are being implemented, what results are being achieved for children and how relevant programmes are to the situation of children's and women's rights, to national priorities, to international standards and to organisational policy. Evaluation 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 geographical focus and implementing partners, 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 would be referred to as a Joint Programme or Project (see EXDIR/2004-xxx on Joint Programming).

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 however 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. [Chapter 6](#) contains tools to enhance emergency preparedness and response in programme design and programme management.

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

Figure 3.1 The Country Programme Cycle



Section 2. The Country Programme Preparation: Process and Documentation

Overview

12. The preparation of a new Country Programme is initiated by the proposal of the UNICEF Representative to begin or continue to support a country in realizing children's and women's rights through programme cooperation. Where programme cycles of UN agencies have been harmonized, the timing of the Country Programme Preparation is prescribed by the common cycle. Programme preparation is undertaken jointly with concerned ministries, other UN agencies, civil society organizations (CSOs), bilateral 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 agencies. The steps are described in more detail in subsequent paragraphs:

- Formulation by the UN Country Team (UNCT) and Government of a common workplan for preparation of new Country Programmes.
- Preparation of a Common Country Assessment (CCA) by the UNCT and Government.
- Preparation by the UNCT of a UN Development Assistance Framework (UNDAF).
- Preparation, with programme partners, of a strategy for the proposed Country Programme. The strategy, together with those prepared by other UN agencies for their Country Programmes, is discussed and agreed with key programme partners and senior UNICEF colleagues at the Joint Strategy Meeting.
- Preparation of the draft Country Programme Document (CPD), which reflects the agreed Strategy. After clearance by the Regional Director, the draft CPD is presented to the UNICEF Executive Board for consideration and comments.
- Preparation by the Country Office of the Country Programme Management Plan and Integrated Budget (CPMP/IB), which outlines 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.
- Taking into account the comments of the Executive Board, the programme partners finalize the CPD and the details of the Country Programme Action Plan (CPAP). The CP Results Matrix forms part of both documents. The CPAP also includes the Integrated Monitoring and Evaluation Plan (IMEP), and, where opted for, programme Logframes.
- The revised CPD and Summary Results Matrix are posted on the UNICEF Extranet. Unless at least five members of the Executive Board wish to discuss again the proposed Country Programme, the Programme is considered approved, and on the advice of UNICEF HQ the CPAP can be signed by the UNICEF Representative and the host Government.

13. The Country Office will ensure the preparation of a new or updated Situation Analysis of Children and Women (SITAN), at least once at any time during the five-year programme cycle. 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, a UNDAF evaluation. Research and lessons learned resulting from the SITAN or MTR will directly feed into the next CCA and UNDAF, and the next UNICEF-assisted Country Programme.

14. Table 3.1 illustrates the documentation involved and the timing of a typical Country Programme preparation. Timings should be shown in the CP preparation workplan. They can be 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 Workplan prepared by UNCT						x							
CCA Preparation/Update and Report							x	x	x	x	x		
UNDAF Preparation and Report										x	x	x	x
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 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/Results Matrix/CPAP								x	x	x	x	x	
Signature of CPAP													x
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 Annual Review usually forms part of the Mid Term Review (see [chapter 4](#)). This should not, however, prevent programme partners from holding annual review/planning meetings for specific projects or programmes, especially where detailed operational modalities need to be agreed upon.
- In situations where the preparation of the CCA has been delayed, Country Offices should ensure that a new Situation Analysis of children and women is being undertaken, or that at a minimum the previous SITAN has been updated, in time for the CPP.
- 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.

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 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.

Situation Assessment and Analysis (SITAN)

17. An assessment and analysis of the situation of children and women (SITAN) provides a basis for CP preparation, but is primarily a developmental contribution to national research and knowledge. It increases the understanding of causes and linkages between issues affecting the rights of children and women and potential hazards to their well-being. It identifies the country's human, financial and organizational capacities, the capacity gaps at different levels, and the needed actions. The SITAN document is an important advocacy tool. A new or updated SITAN, based on a comprehensive assessment of the rights of all children and women, and using a conceptual framework to identify the main causes of the problems, should be prepared *at least once* in the course of a Country Programme. The research agenda underpinning the preparation of a SITAN should be reflected at the strategic and activity levels in the CPAP, the IMEP and in relevant AWP and budgets. Particular attention should be paid to the analysis of the situation related to the organisational priorities of the current MTSP.

18. An updated SITAN is the synthesis of new statistics, national policies, laws and trends, and new research and analysis accumulated over the past years. It draws heavily on evaluation work, including findings from the Mid-Term Review of the previous Country Programme, and makes use of previous SITANs. Key guiding documents in preparing the SITAN are the CRC, the CEDAW, concluding observations of the respective treaty bodies for these conventions, and the UNICEF MTSP. Specific research is often commissioned to fill information gaps. This research agenda can be part of the [Integrated Monitoring and Evaluation Plan \(IMEP\)](#). It may be difficult to time the production of a SITAN to coincide with the preparation of a new Country Programme. While a new SITAN document may be finalized at any time during a programme cycle, UNICEF should ensure that updated statistics, important research findings and new insights and analysis on children's and women's rights inform the preparation of the CCA, and the development of the UNDAF and the strategy for the new Country Programme.

19. 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. The SITAN process involves the 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. It may call upon, and in some cases is technically led by national research institutions and university departments. It is often part of longer-term collaboration to develop national capacity for child-focused research. The CO needs to ensure that the focus of the assessment covers the MTSP organisational priorities, and that the analysis is done through a human rights –based methodological approach. As part of the SITAN process, the views of local and community groups should be sought. Where practical, the meaningful and substantive

participation of children and adolescents in research activities should be facilitated ([see Chapter 6, Section 13](#)).

20. In preparing for a SITAN, COs should ensure the following:

- All staff should be familiar with the basics of a [human rights approach to programming](#). A [training package](#) is available for this purpose on the Intranet. Training can be organized for the UN Country Team. Training in gender analysis is also useful.
- The timing and preparation of an updated SITAN should be mentioned in the CPAP, and budgeted for in the relevant annual Annual Work Plans.
- All relevant existing sources of data and research on children and women in the country should be identified and reviewed for possible use in the SITAN process. 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. These should be considered as possible areas for programme interventions. Also consider the country reports on the CEDAW and the observation 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 SWAs and PRSPs.
 - Local level studies, such as baseline surveys, community consultations or evaluations done for specific projects by Government or development partners.
 - Legislative and budget review.

21. The CO and other agencies may judge it necessary to analyse sensitive topics affecting children's and women's rights within the SITAN process. Many such topics – such as discrimination and oppression, gender-based violence, corruption, incipient famine and civil unrest – may not be readily accepted as topics by the government. Yet these are often critical issues, not least because they may be precursors of emergencies. If urgent but sensitive topics cannot be treated in the formal SITAN, this may need to be done unofficially, by confidentially advising the Regional Office, and through discussions at the level of the UN Country Team.

22. 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 may facilitate an analysis of issues that the government finds sensitive. Even if such issues cannot be fully reflected in the SITAN, the CO should continue to monitor them after the consultation.

23. Important issues where information or analysis is lacking should be earmarked for further study, and may become part of the research agenda to be supported in the next Country Programme. This may include, for example, the preparation of national statistics disaggregated by

gender, age, location, or language group, as appropriate.

24. There is no prescribed structure of the SITAN document. It needs to be kept in mind that 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.

25. 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 (duty-bearers) and analyses their capacities, and indicates possible programme and research priorities, both for UNICEF cooperation and beyond.

26. Further specific elements are essential for building a comprehensive SITAN, particularly where they have not been fully covered elsewhere:

- In-depth assessment of the situation of *highly disadvantaged groups* (e.g. minority groups, or populations living in remote areas, squatter areas and/or in extreme poverty, internally displaced, refugee children), including analysis of the underlying reasons for disadvantage or exclusion, and the opportunities for their participation in political and community decision-making.
- The influence of *gender relations* at family, local and national levels, including roles, attitudes, inequalities and discrimination in legal status, resource access and control;
- Assessment and analysis of 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](#) 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](#) for guidelines on environmental impact assessment at programme and project level).
- Assessment of the availability of and access of families to *essential services and commodities* for children and women (e.g. vaccines, textbooks, water point spare parts, bednets, 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 [protocol](#) for undertaking this kind of analysis is available from Supply Division; also refer to [CF/EXD/MEM/2002-005](#).

27. There are no internal clearance procedures for the SITAN document. The Government often comments on the 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 RO should be approached to provide good examples of SITANs from other countries, and asked to comment on the conceptual design and methodological approaches for the SITAN. The RO should also be asked to comment on drafts of new or updated SITANs. Hard and electronic copies of the final document are shared with the RO and HQ (Programme Division, Division of Policy and Planning and Evaluation Office).

Country Programme Preparation Workplan

28. The UN Country Team, in consultation with the Government, the inter-agency regional support group, and other major development partners, prepares a workplan for the preparation of CCA, UNDAF, and subsequent CPs. Guidelines for the UNCT on workplan preparation are included in the [CCA/UNDAF guidelines](#). A draft workplan should be proposed to government well in advance, to avoid conflicting schedules and to get maximum commitment. Workplan 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 workplans have been developed, and are complete and realistic.

29. In countries, where no CCA or UNDAF is being prepared, a workplan should be prepared by the UNICEF Country Office, identifying the steps and calendar for the CP preparation. Budgetary resources and needed staff time for CP preparation should be reflected in the Annual Work Plans (AWPs) and the Annual Management Plan (AMP).

30. A good CPP workplan 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 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 workplan is equivalent to detailed Terms of Reference for those involved in the process.

31. The workplan 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, 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.

32. A good workplan 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 workplan, and check on the work in progress.

Common Country Assessment (CCA)

33. 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

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). 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 the Bretton Woods 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 support groups are available to provide assistance.

34. The preparation of a CCA usually takes around four months, and begins in the middle of the fourth year at the latest. An earlier starting date is preferred to avoid year-end rush.

35. 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 organisational priorities 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.

36. 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;
- develop 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](#).

37. The CCA does not, however, substitute for the preparation of an updated Situation Analysis of children and women, at a suitable time within the programme cycle. The preparation of CCA and

the SITAN process mutually enforce each other, with the SITAN probing deeply into selected children and women's rights issues and examining specific causalities, while the CCA ensures that due attention is given to children and women within the overall development and human rights context.

38. In situations where the preparation of a new CCA is delayed or does not take place for reasons beyond the control of the UNICEF Country Office, it is mandatory that a SITAN of children and women is produced or updated to help guide the Country Programme Preparation.

United Nations Development Assistance Framework (UNDAF)

39. 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.

40. 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 Director. 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. 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).

41. 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 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. The UNDAF guidelines include a [quality checklist](#) for self-assessments by the UN Country Teams.

42. 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 support groups are available to assist. UNDAF preparation time takes at least two months, and should be completed by November of year four. The UNDAF Results Matrix should be available for the [Joint Strategy Meeting](#), which takes place around late February of the last year. In the past, preparation of some UNDAFs took more time, and UN Country Team should carefully assess the time needed and start early. [UNDAF guidelines](#) are available on the website of the Resident Coordinator System (www.dgo.org). Selected UNDAFs are reviewed by the Executive Boards of UNDP, UNFPA and UNICEF at their joint meeting in the last year of the harmonised cycle.

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

- The UNDAF must describe the broad areas that UNICEF is expected to contribute to through the Country Programme. It is expected that the subsequent UNICEF CP reflects some of the UNDAF priorities and goals.
- By increasing the emphasis in UNDAF to goals 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

44. 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.

45. 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 priority 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/2003-03](#)). A the strategy should discuss:

- A summary based on the ongoing or most recently-published SITAN, the Common Country Assessment, and other recent studies and 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. The latest CEDAW implementation report 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 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 be prepared to concentrate resources in the most promising programme areas.

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 achieved through UNICEF cooperation should be related to the main Goals and Objectives of the original Programme of Cooperation as approved by the Executive Board or,

in some cases, as modified through the Mid Term Review. The statement should clearly indicate the contributions that have been made by other partners. Where a Key Result has been verified by a survey, study, review process or evaluation, this should be referred in the text. This section also draws on the annual and mid-term review reports. No more than 2 – 4 validated key lessons or good practices should be reported. The basis for each experience should be identified (e.g. 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 on 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 related to

posts, travel and support staff in the areas of supply and logistics, 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 *Expected Results and Strategies* and their relation to national and international priorities. This section presents the overall goal(s) 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. The expected results are stated clearly, with appropriate quantification. This section also describes the strategies of the CP and - through analysis, not just by simply stating that a linkage exists - explains the relationship of the key results to the respective outcomes described in the *UNDAF Results Matrix* and to the following national priorities:

- the priority issues for the realization and protection of children's and women's rights which emerged from the most recent *Situation Analysis of Children and Women*, and from the *UN Common Country Assessment* where available, as summarized earlier;
- 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 legal reform.

The section also explains the relationship to the following international priorities:

- UNICEF organizational priorities, explaining the rationale for the selection of the priorities within the MTSP to be addressed by the CP, and the justification for any additional priority areas which may be included in the CP (e.g. regional sub-emphases).
- 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 *Millennium Development Goals* (MDGs) – to which the UNICEF-assisted CP will contribute, and how.

Attributes of good strategies

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

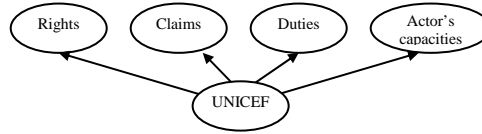
- build commitment and capacity at different levels of society for the sustained realization of results for children's and women's rights;
- address discrimination and focus on the priority needs, rights and capacities of the most vulnerable, excluded and disadvantaged;
- are catalytic of wider outcomes, 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.

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 and policy-related advocacy.

Capacity development strategies for realisation of children's rights



1. **Capacity to Assess and Analyze:** UNICEF contributes to generation of national knowledge on the situation of children and women, through assisting in assessment, analysis, research, and building national capacities of research organisations.
2. **Capacity to Claim:** UNICEF advocates with host Governments, but also helps to develop the capacity of civil society to raise awareness about the situation of the poor, and demand or use social services and opportunities.
3. **Capacity to Plan:** UNICEF directly supports the preparation of policies and National Development Plans, other plans such as National Plans of Action for Children, PRSPs, SWAps, or municipal plans. This support includes capacity development through training in management, workplanning, or monitoring and evaluation. UNICEF emphasises stakeholder consultation.
4. **Capacity to implement and follow up:** Most of UNICEF's programme support is directed towards the strengthening the capacities of duty bearers. This may include development of technical and managerial skills of service providers, institutional capacity building, and community and family 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 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;

- 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 and provide additionality to the RR allocated.

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, 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 very 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 the Regional Director and Headquarters Divisions, as necessary, before proceeding with such proposals.

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.

vii *Analysis of Programme Partnerships* and the international cooperation context. This section describes a) the most important contributions to the expected results of the CP which will be made by regional, international, UN national, sub-national, civil society, 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 expected 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.

46. 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

47. 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 programming;
- for each agency to agree on the key outcomes and outputs 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.

48. The strategy – typically presented as the zero draft of the Country Programme Document -, together with the UNDAF Results Matrix are the main documents, supported by the latest SITAN, the CCA, the UNDAF, results of major evaluations, recommendations from the Mid-Term Review, the UNICEF MTSP 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.

49. 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)

50. Through the draft Country Programme Document (CPD) 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 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 expected results; the required RR and OR; the key partnerships; and the programme management structure, including mechanisms for monitoring and evaluation.

51. The draft CPD is prepared in consultation with the Government based on the strategy (see above) agreed at the Joint Strategy Meeting, and is 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.

52. 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.

53. 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
- 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 (drafted by the CO, attached to the revised CPD).

54. 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) 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;
- c) 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.

55. Following the June session of the Executive Board, the CPD is revised with Government, taking into account the Executive Board comments, which are conveyed by the Regional Director. A Summary Results Matrix is prepared by the Country Office and annexed to the Country Programme Document. The revised CPD including the Summary Results Matrix is reviewed and cleared by the Regional Director, submitted to OSEB and posted on the UNICEF Extranet in October. The revised CPD is approved by the Executive Board on a no-objection basis at the first regular (January) session in the first year of the new CP cycle, unless at least 5 Executive Board members have indicated a desire to discuss the revised CPD within 6 weeks of it being posted on the Extranet. If there are significant variations between the draft and finalized CPDs, the rationale for making these changes should be explained when posting the finalized 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 and approved by the Regional Director before the final CPD is posted on intranet.

56. 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 priorities 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.*

57. 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 7](#).

Table 3.2: Summary Results Matrix					
UNICEF MTSP Priority Area	Key results expected in this priority area	Key Progress Indicators	Means of Verification	Major Partners, Partnership Frameworks and Cooperation Programmes	The expected key results in this Priority Area will contribute to
Girls' Education					<u>UNDAF expected outcome:</u> <u>WFFC goal:</u> <u>MDGs:</u>
IECD					As above
Child Protection					As above
Immunisation Plus					As above
Fighting HIV and AIDS					As above
(Regional or country sub-emphasis)					As above

58. Although the Summary Results Matrix is formally attached to the Country Programme Document at the revised stage, it is *highly recommended* that the preparation of the Summary Results Matrix actually begins much earlier - when the CPD is first drafted. The Matrix can then be developed progressively during the year, linked both to the development of the CPD and also to the broader UNDAF Results Matrix. The Matrix is also incorporated in the CPAP, with additional detail added if required. Corresponding indicators and means of verification will also be progressively refined and rationalized, and in turn reflected in the UNDAF M&E Plan.

59. 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.

60. A "Reconfirmation" PRO (e.g. [PRO/2003-03](#)) 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

61. "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.

62. 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

63. 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. Such 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. A [Joint Programme or Project](#) primarily denotes that involved UN agencies agree to collaborate for a common set of results in a certain programmatic or geographic area, normally within the UNDAF framework, and have agreed on the best fund management option for this collaboration (see EXDIR/2004-xxx on Joint Programming).

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

64. The UNICEF Country office prepares a Country Programme Management Plan (CPMP) to guide the organisation of resources for efficient management of the Country Programme (also see [PRO/2001-01](#)). The CPMP sets out an office management structure to support the efficient pursuit of the CP strategies. The CPMP links the country office structure, procedures and resources with the structure, budget and the Key Results of the country programme.

65. 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 posts, local posts, other staff costs, 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 and project officers, contributions to travel expenses, vehicles or telecommunications, or any other expenses specific to the implementation of projects. 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.

Table 3.3: Integrated Budget	
Support Budget	Programme Budget
	Direct Programme Costs (RR)
Cross-Sectoral Costs (mainly RR)	Direct Programme Costs (funded OR)
	Direct Programme Costs (unfunded OR)

66. 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).

67. 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](#)”).

68. 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 and

processes 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 and take account of 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 expected results of the Country Programme cannot be defined without taking into consideration the available resources and management capacities.

69. The CPMP is critically important for defining the needed capacities to advance the strategies of the CP, and management arrangements to keep human and financial resources focused on the Key Results for children and women. 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.

70. 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.

71. 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 depth of the CPMP analysis depends on the CO's size and resources;
- the CPMP preparation should be participatory and aim to achieve consensus within the office on priorities and plans for programme management, including resource allocation, the staffing structure, and key responsibilities during crisis situations;
- the CMT should invite a discussion, for instance, whether the CO should be organised by technical sector (as traditionally done), follow the programme structure (which may include multi-sectoral components), or according to other considerations;
- while portions of the CPMP will be developed by functional units within the office, it should also involve the same staff as members of cross-functional teams (e.g., on staff training, communication, publications, resource mobilization, programme monitoring);
- 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 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.

72. 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 [PRO/ 2001-01](#):

73. 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 determine whether the Country Office has a clear vision of how it can achieve its expected results, and whether the proposed management structure and resources are likely to be adequate. The PBR assesses whether the priorities for children and women, as outlined in the Medium Term Strategic Plan and the UNDAF, are appropriately addressed; whether the proposed strategies are in line with UNICEF's guiding principles and comparative advantages; whether the expected results can be reached under the proposed management plan and given resources; and whether the office has adequately considered measures in preparation for situations of instability and crisis.

74. 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)

75. Country Programme Action Plan (CPAP), or Master Plan of Operations (MPO) if before 2004, is the final product in the preparation of the CP. It 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 expected results for children and women. The subsequent annual objectives, activities and budgets are based on what has been agreed in the CPAP.

76. The revised CPD and the CPAP should, where appropriate, take into account the comments provided by the Executive Board. Starting from the broad strategies of the Country Programme, programmes and projects are designed with more specific supporting objectives, results and budgets. However, the CPAP remains primarily a strategic document, placing the emphasis for detailed activity planning on the Annual Project Plans of Action and Annual Reviews.

77. The CPAP includes - in addition to the summary situation analysis - the country programme strategy and country programme structure as described in CPD, a series of articles and provisions governing the management of the UNICEF-assisted Country Programme. Expected key results should be described for each programme. The CPAP also includes more detailed budgets, a [Results Matrix](#), and the multi-year Integrated Monitoring and Evaluation Plan (IMEP). Chapter 6 provides a [template](#) for a typical CPAP, containing standard clauses and annotations to the different articles where required.

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 at project, programme and CP level
- 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)

78. The CPAP includes, in addition to the summary situation analysis, the country programme strategy and country programme structure as described in CPD, a series of articles and provisions governing the management of the UNICEF-assisted Country Programme. Expected key results should be described for each programme. The CPAP also includes more detailed budgets, a

[Results Matrix](#), and the multi-year Integrated Monitoring and Evaluation Plan (IMEP). Chapter 6 provides a [template](#) for a typical CPAP, containing standard clauses and annotations to the different articles where required.

79. A [Results Framework](#) (or “objectives tree”) should be used as a way of organizing expected programme results. Logical frameworks or "LogFrames" help to identify the key assumptions behind the expected results and the key indicators of progress, and to work out their hierarchy and inter-relationships. 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 3 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.

80. It is *required* that all programmes and their individual projects 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. 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 project in the CPAP. For all programmes with a major supply component, a [supply and logistics assessment](#) should also be undertaken (see Supply Manual).

81. 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 6](#)). 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 collaboration and 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.

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 (including SITAN related)					
Evaluations					
Monitoring Systems					
Partners' major data collection activities					
M&E Capacity Building (UNICEF and partners)					
Publications (optional)					

(N.B. This format is explained in detail in Chapter 6, Section 6.)

81. The development of the CPAP takes place simultaneously with the development of the draft CPD and revised CPD, drawing on text from the Strategy Paper and the CPD itself. 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 Results Matrix, the IMEP and conformity with the UNDAF. If it becomes clear – usually about six weeks after posting the revised CPD on the Internet - that the Executive Board will approve the revised CPD on a no-objection basis at the January session, the Secretary of the Executive Board (OSEB) will advise the Regional Director and Representative that 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.

82. The Country Office may use the CPAP to elaborate in greater detail the CP strategies, programmes or projects, provided that they remain consistent with the text and intent of the CPD. In some cases, Country Offices and national partners may jointly 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)

83. 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.

84. 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.

85. 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.

86. 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.

87. 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](#)).

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

- policy direction in relation to organisational priorities as expressed in the MTSP;
- organising a collaborative planning process and formulating an overall framework;
- identification 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 a quality assurance framework covering proposals, performance assessment and evaluation;
- global reporting and monitoring.

89. 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.

90. 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;
- financial reporting through DFAM;
- 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. Results-based Programme Planning

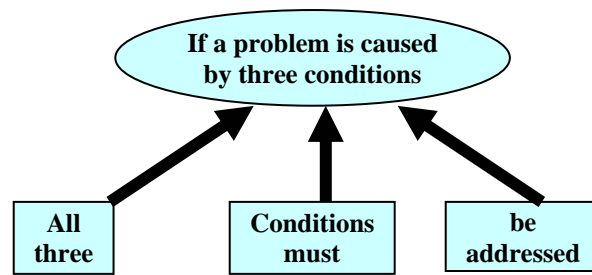
Principles of Results Based Programme Planning

91. Results can be achieved at the different levels of activities, projects and programmes and form a results chain. *Strategic results* describe the expected change in the lives of children and women. The scope of the expected results will vary according to the country setting and office/ programme size.

92. Government, other development partners and UNICEF must *agree* on the results chain leading to the strategic results for children. They must agree on the problem to be addressed, the causes of the problem, the strategic results, and the sequence of steps needed to achieve it.

93. Results based programme planning ensures that the sum of interventions is not only necessary, but also sufficient to achieve the expected result. (see Fig.3.2)

Figure 3.2



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 or other partner agencies 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.

94. Results Based Management replaces “Action” language with “Change” language. Action language expresses results from the provider’s perspective (e.g. to promote child survival, physical and psychological development). Change language describes changes in the conditions of children and women; results are expressed from their perspective (e.g. young children are healthy, well nourished and active learners).

95. UNICEF Policies and Procedures are well suited to results-based programme planning. The following sub-sections will outline how to ensure a results focus during the various steps of programme preparation.

Causal Analysis and Problem Tree – getting the SITAN and CCA right

96. It is important to *achieve agreement* on the priority issues related to the realization of children’s and women’s rights. For a subsequent programme to address all that needs to be addressed, the main contributing factors of a problem need to be identified and organized in a causal relationship. The graphic representation of this causal analysis is called a problem tree. It is important to build consensus also on the causal analysis. The agreement on children’s priority issues and analysis of underlying and basic causes is recorded in the SITAN and the CCA.

97. The first step of a SITAN is, therefore, a broad-based identification of the status of the realization of the rights of children and women, i.e. an *assessment*. Based on available quantitative and qualitative data and other information, including recent studies and research 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 present 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, increasingly, attention will be paid to urban populations living in poverty and single parent or youth headed households.

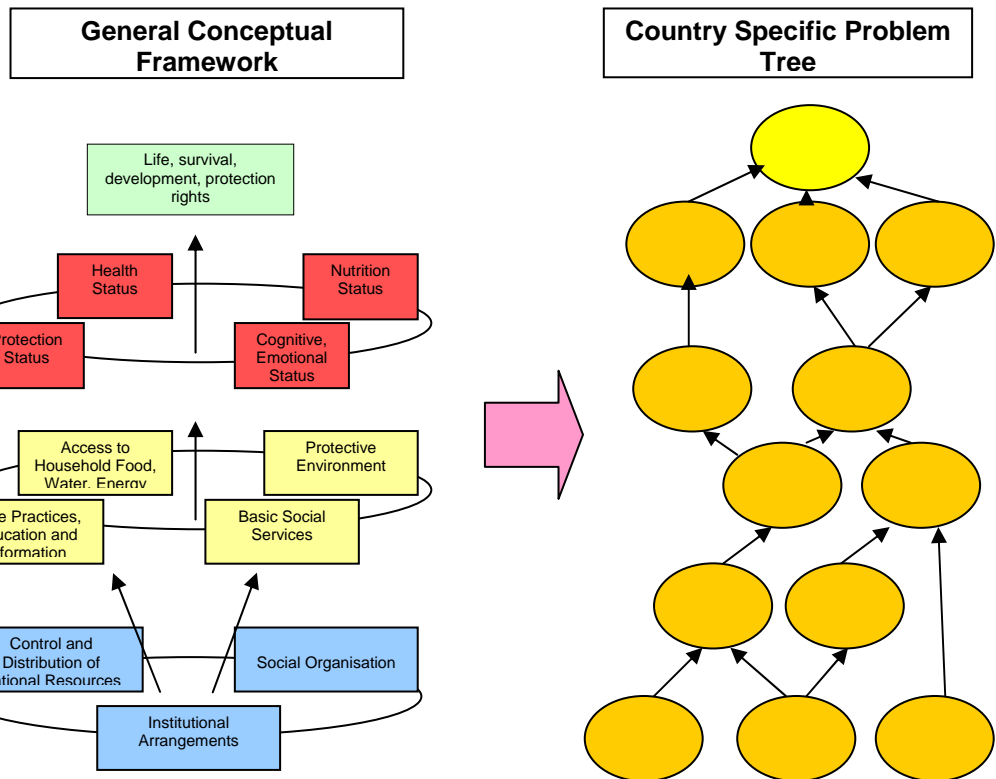
98. Although a wide range of problems may have been identified, the limited resources of the government, UNICEF and partners may make it necessary to prioritise them for analysis. The criteria for *selecting areas for in-depth analysis* may depend on the number of children and women affected by the problem; 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 other problems and 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 research at a later phase of the Programme of Cooperation.

99. 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.

100. A **Conceptual Framework** is an analytical model developed through scientific evidence, global research, local knowledge and lessons learned from evaluations that establishes a structured way of looking at an issue (see Figure 3.3 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.

Figure 3.3



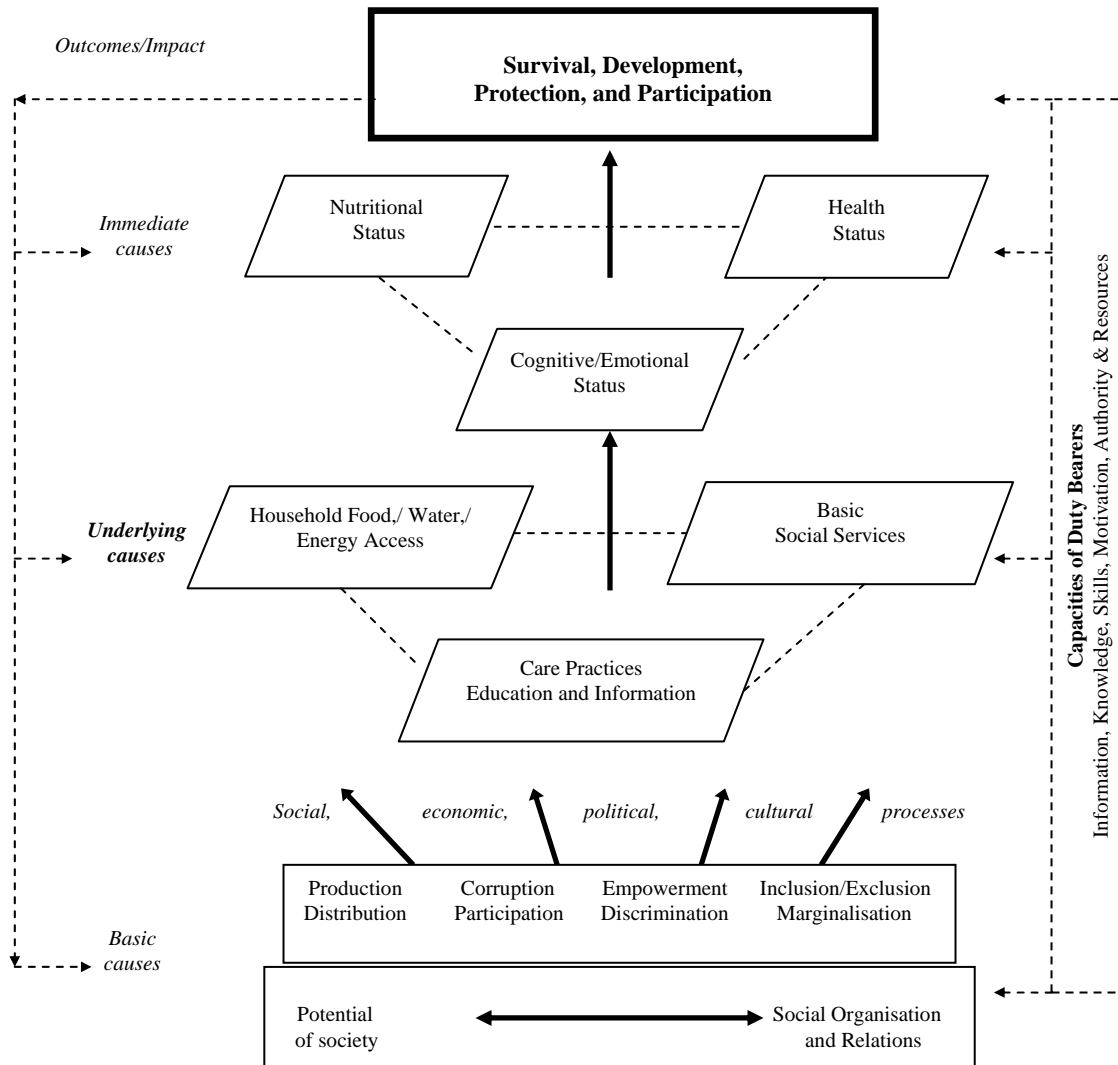
101. Figure 3.4 illustrates the principal elements of the conceptual framework commonly used by UNICEF, which is derived from UNICEF's global [Nutrition Strategy](#). It is important to emphasize that the details within this framework will vary according to different situations and the specific factors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

102. 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 using available quantitative data, qualitative information is also gathered, preferably with the participation of children, government, civil society and community groups (see [Chapter 6, Section 13](#) on participation of children and young people).

103. 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 3.4 An illustrative Conceptual Framework for Situation Assessment and Analysis (SITAN) of the Rights of Children and Women



104. 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 (see MTSP Operational Guidance Note). It suggests to simultaneously examine both the causes of violence, abuse and exploitation and the systemic, societal, 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.

105. 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.” In addition, institutional mechanisms take on a key role, as it is essential that the mechanisms —

organisations, judicial processes, political processes— are effective in providing means for rights-holders to assert their claims and mechanisms for remedies to be delivered. 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 3.6 helps in identifying capacity gaps of duty bearers.

106. 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).

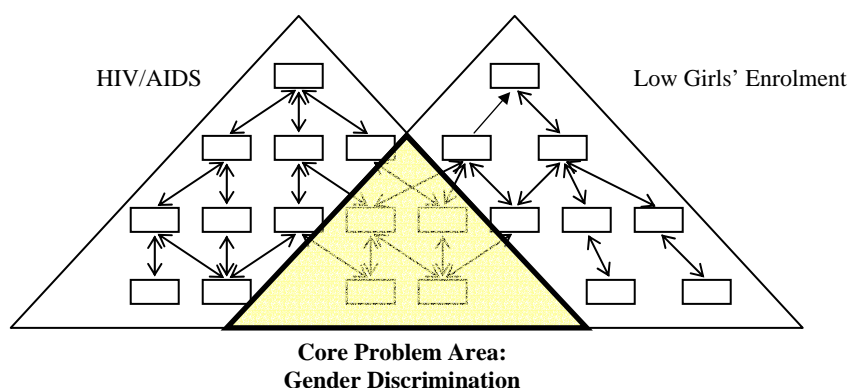
Table 3.6 Capacity Analysis Matrix

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, human and material resources? If not, what's missing?
Immediate Care Giver				
Household				
Community Group				
Local Govt.				
National Govt.				
International				

107. The causality analysis is the core of the SITAN and CCA documents. It is important that the problem tree correctly describes cause and effect in the local or country situation. The more specific the causality analysis of a problem, the more useful it is in identifying *all necessary* interventions, so that their sum is *sufficient* to adequately address the problem and achieve the expected 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

108. 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.

Figure 3.5: Connecting Causal Trees



109. 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.).

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

110. The next step in programme preparation is to decide which human rights issues (or causes of the problem/violation) should be addressed. 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.

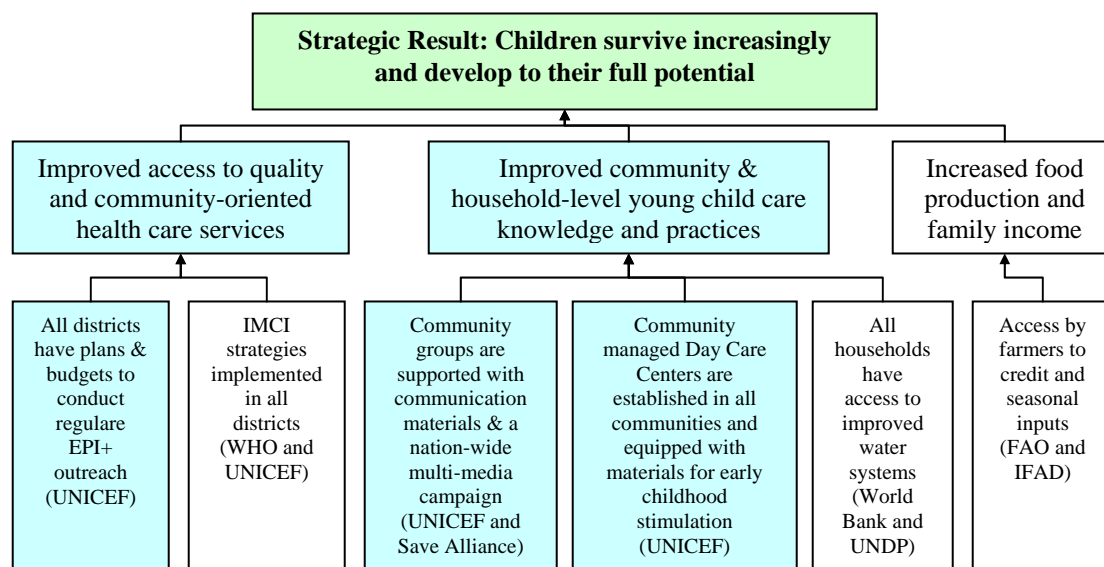
111. If, for instance, a capable agency is already active in supporting an important area, UNICEF may not need to be involved - even if the situation analysis or CCA has identified this area. On the other hand, if a co-operating partner is generally interested in a particular area but has not yet determined 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.

112. UNDAF is about achieving consensus among Government, civil society and development agencies on priority issues for development cooperation, and on a broad distribution of roles and responsibilities. The UNDAF Results Matrix describes how the sum of agencies' contributions helps to achieve the selected strategic results. As much as possible, the strategic results of UNDAF should describe the expected changes in the lives of children and women, among others. It is suggested to visualize the UNDAF Results Matrix and agencies' contributions in a results framework, see Figure 3.6.

113. With such visualization, the UNDAF describes how the sum of agencies' contributions helps to achieve the selected strategic result. It may also include contributions of bilateral and non-UN

partners. The UNDAF clarifies the responsibility for key results within the partnership arrangements. It does not define a complete results chain down to the project or activity level.

Figure 3.6 A hypothetical UNDAF Framework



114. This framework may also 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 expected results would have to be reduced, or other partners (e.g. bilaterals, Government alone) need to be mobilised to commit themselves to provide the necessary assistance.

115. In order to prioritise possible actions to be supported by the UNICEF-assisted CP specifically, within the UNDAF, the Country Office should analyse the programming environment by considering following aspects:

- The three or four most pressing children's and women's rights issues, based on the Situation Analysis and CCA, and considering possible scenarios of crisis;
- National priorities as expressed in national development plans, the Millennium Declaration and MDGs, and the UNICEF organisational priorities as defined in the MTSP;
- 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, the Country Office has 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 capacity of the office, and realistic budgets.

116. UNICEF's available financial, organizational and technical resources tend to be overestimated during programme design. Many Mid-Term Reviews conclude that the programme was overly ambitious, resources were spread too thinly, and management capacities both within

Government and UNICEF Country Offices were not sufficient. It is good practice to limit the number of programmes from the outset to what can be done well.

117. Based on above or a similar checklist, the Country Management Team may arrive at a consensus on “candidate” future country programme priorities and interventions, and expected results. This consensus would provide a starting point before entering into discussions with programme partners, and gives general directions for office staff in their negotiations with counterparts. This position could also be usefully captured in a brief internal position paper.

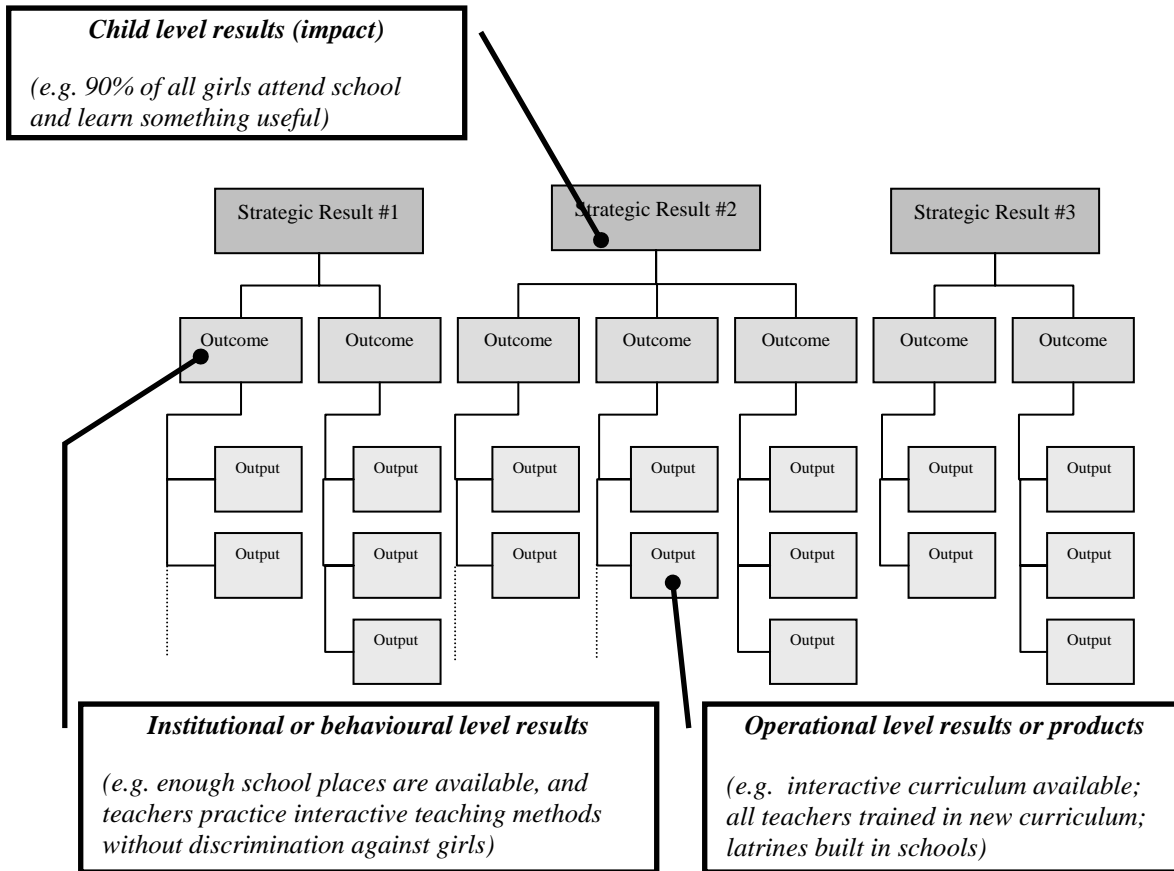
Developing the Programme Structure – based on planned results

118. Guided by the UNDAF Results Matrix, Government, UNICEF and other partners decide on the results expected from their cooperation. The visualization of results in a results framework is an *approach* to programme planning, not a separate instrument or document. It illustrates the necessary components that lead to the achievement of a key result. The quality of the results framework – and hence the likelihood of achieving the expected result – depends on the thoroughness of the causality analysis related to the problem being addressed. A complete results framework will show the relationship between:

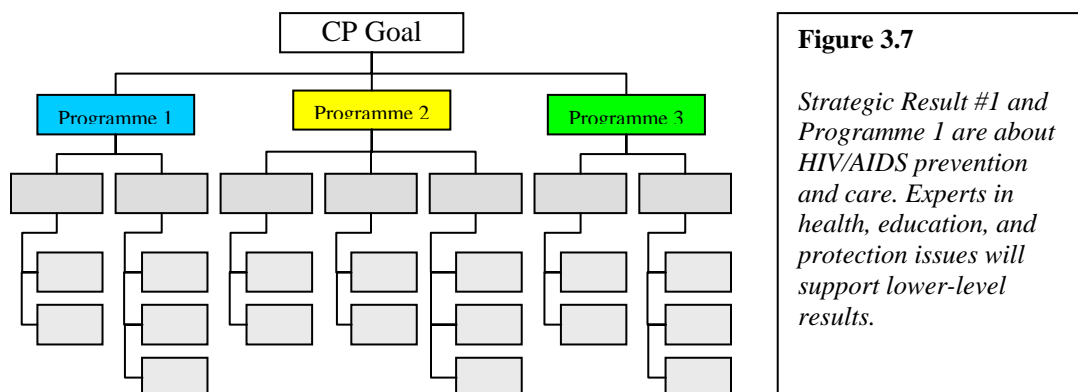
- Strategic results –describing the realisation of rights of children and women, or a change in their status. The achievement of strategic results (or impact) will usually depend on many other factors including the contributions of more than one partner;
- Results – or outcomes - related to institutional 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 projects or activities, or products. The achievement of these results is largely under the direct control of Government, UNICEF and other immediate partners.

119. 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, an outcome is the result of a programme, for others it is a result of a project). Terminology is not a big problem, as long as the results chain is coherent and complete. (see also [Chapter 5](#), para 23, 24 and Figure 5.3 on attribution and partnership)

120. A results framework for the proposed Country Programme should be developed before deciding on a programme structure or office organogram. Management considerations will help to decide whether the results framework can directly translate into the programme/project structure, or whether there are reasons to adopt a different programme structure.



121. In the scenario shown below in Figure 3.7, programme results and strategic results are identical. Programmes are not necessarily organized by sectors. For each strategic result there is a manager, and staff work as teams towards this result. For each strategic result, one “agenda” or work-plan determines the contributions that staff are expected to make.



122. Managing by strategic result is a straightforward concept. The role of so-called cross-cutting staff, such as planning officers, M&E officers, or communication officers is defined by the contributions they are expected to make towards the strategic results.

123. In the scenario shown in Figure 3.8, programmes are organized by sectors. Results framework and programme structure are different. Most programmes contribute to several strategic results. Staff work in their sectoral teams. Additional management mechanisms are required to coordinate and converge the sectoral programme contributions in support of “cross-cutting” results and strategies.

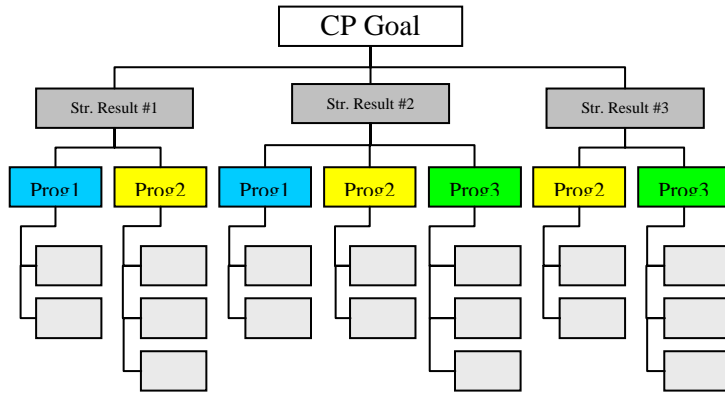


Figure 3.8
Strategic Result #1 is about girls education. Both the Education Programme and the WES Programme are expected to contribute. Strategic Result #2 is about HIV/AIDS prevention and care. The Health, Education and Protection Programmes are expected to make contributions.

124. Many staff may still feel more comfortable working in their traditional sectors. Also counterparts (e.g. Ministries) may prefer to have the programmes organized by sectors. However, cross-cutting issues, which are often key to addressing the underlying and basic causes of problems affecting children and women, may be more difficult to pursue under such arrangements.

125. The expected results, strategies, the programme structure and planned budgets of a proposed Country Programme are described in the CPD and the CPAP.

126. 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

127. Having achieved agreement on the key results, strategies and programme structure as described in the CPD – and commented on by the Executive Board - the programme design is finalized with all programme partners and recorded in the Country Programme Action Plan (CPAP). While the CPAP is still a strategic document, it contains a clear outline of the programmes, projects and major interventions necessary to achieve the results for children.

128. 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 expected 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 Logframe.

129. 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.

130. 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 drafts.

131. Table 3.7 provides an example of a LogFrame. Variations of the format are used by different agencies, but the basic elements remain 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 project structures may have to split the Logframes in more manageable portions.

Table 3.7 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						
1.2	Outcome Statement						Risk and critical planning assumptions specific to Results Chain #1.2 (including assumptions about contributions by other partners)
1.2.1	Output Statement						
	Course of Action						
1.2.2	Output Statement						
	Course of Action						

132. 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 project-level results lead sequentially to results for children.

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

- If no measurable indicator can be found that describes the expected 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 measure progress).
- Without Means Of Verification (MOV), the achievement of the result cannot be assessed. MOVs should be reliable, practical and cost-efficient. This column will also 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 and revised CPD.

134. 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?

135. 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, say, 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 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; budget for expertise
- Major assumptions that can be influenced by modifying projects and adding a clear advocacy agenda:
Example: Favourable policy environment; political commitment; 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
- “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

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

137. If Logframes have been used to finalize the programme design, the preparation 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.

138. 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 Workplan

- ❑ Has a workplan been prepared with the UNCT and shared with the Regional Director?
- ❑ Does the workplan spell out the responsibilities and tasks of all stakeholders, including the expected outputs at the various stages of the process?
- ❑ Have other planned or on-going national processes (e.g. the PRSP, where present) been identified and linked to CCA, UNDAF and CP preparation?
- ❑ Does the workplan provide for sufficient lead times for preparation and review of draft documents, including the review of CCA and UNDAF?

SITAN and CCA

- ❑ Is there consensus among partners regarding development priorities and children's and women's rights issues as described in the SITAN and CCA?
- ❑ Does the SITAN consider, at least at the assessment stage, all organisational priorities of the MTSP?
- ❑ Do the SITAN and CCA make use of gender-disaggregated data?
- ❑ Are the most recent national statistical information used, and are important current policies and programmes, including SWAp and PRSP, adequately described?
- ❑ Has the likelihood of a crisis or natural disaster and who is likely to be affected, been considered, as well as possible constraints (e.g. in the area of logistics) to effective disaster relief?
- ❑ Rather than describing averages, does the assessment 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?
- ❑ Does the analysis identify causes at all levels of society, including at the structural or basic level?
- ❑ 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, subnational, community and family level) for addressing the main problems, as well as their major capacity gaps?
- ❑ Has the analysis contained in the SITAN and CCA been validated by key stakeholders?
- ❑ Have information gaps and capacity building needs for future assessment & analysis been identified?
- ❑ Has the [CCA Quality checklist](#) been reviewed and completed with the rest of the UNCT?

UNDAF

- ❑ Does the UNDAF explain the rationale for the selection of the priority areas for the UN system?
- ❑ 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?
- ❑ Has the [UNDAF Quality checklist](#) been reviewed and completed with the rest of the UNCT?

CPD/CPAP

- ❑ Was a Joint Strategy Meeting held with partners as part of the CP preparation?
- ❑ Are the expected results and strategies clearly related to problems affecting children's and women's rights and to the causes identified in the CCA?
- ❑ Has the choice of programmes and strategies been influenced by an analysis of ongoing or planned programmes by other partners or actors in the area?
- ❑ Has the focus of the CP been analysed and articulated in relation to relevant organizational priorities 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 PRSPs and SWAp 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 expected 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 expected results and strategies likely to contribute to national or local-level capacity for the sustained fulfilment of children's and women's rights?
- ❑ Do project designs 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 expected 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 expected results?
- ❑ Is the IMEP consistent with the UNDAF M&E Plan?
- ❑ Does the CPAP include standard clauses on cooperation with NGOs/CSOs, fundraising and the management of supply and cash inputs?
- ❑ Was the CPAP signed by government immediately following the confirmation by HQ of Executive Board approval of the Country Programme?

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?
- ❑ Does the CPMP consider all cross-cutting functions, both in terms of programme responsibilities and office management?
- ❑ 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/2000/12](#), UNICEF's Core Corporate Commitments in Emergencies
- [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-xxx](#) (forthcoming) Joint Programming – A Guide for UNICEF Staff
- [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/2002-08](#), The MTSP and UNICEF Programming
- [CF/EXD/2002-02](#), Implementation of the Medium-Term Strategic Plan 2002 – 2005
- [CF/EXD/2001-13](#), Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2000-003](#), Procurement Services (Policy and Procedures)
- [CF/EXD/1998-04](#), Guidelines for a Human Rights Based Approach to Programming
- [CF/EXD/MEM/2002-005](#), Country Assessments of Essential Commodities
- [CF/PD/PRO/2003-03](#), Revised Requirements for Submission and Clearance of Country Programme Documents (CPDs)
- [CF/PD/PRO/2004-01](#), Other Resources for HQ, RO and Inter-Country Programmes
- [CF/PD/PRO/2001-01](#), Revised Guidelines for the Country Programme Management Plan.
- [CF/PD/PRO/2000-06](#), National Execution
- [UNDG Guidance Note](#) on Joint Programming
- [CF/PD/PRO/1999-01](#), UNICEF's Role in Sector-wide Approaches to Development
- [Technical Notes](#) for Programming in Unstable Situations and Crisis
- *Children participating in research, monitoring and evaluation: your responsibilities for respecting their rights*, [Evaluation Technical Notes series](#), Evaluation Office, 2002
- [Beijing+5](#), Women 2000: Gender equality, development and peace for the 21st century, Special Session of the General Assembly, 5-9 June 2000
- A World Fit For Children, [WFFC Declaration and Plan of Action](#),
- Implementation Handbook for the Convention on the Rights of the Child

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. Annual Work Plans (AWPs), previously called Project Plans of Action (PPAs), describe the annual objectives, the activities to be carried out and the inputs to be provided for each sub-project and project of the CP, as shared accountabilities of UNICEF and implementing partners. The outputs of the activities should lead over time to the achievement of the 5-year objectives of the project, as described in the Country Programme Action Plan (CPAP). The AWP is the document that the Programme/Project Officer uses on a daily basis to update and implement, with government counterparts and other partners, the agreed project activities. The AWP is the basis for any reservation of funds, the planning and requisition of inputs (cash, supplies, contracts, travel, staff), and disbursements (payments). The Programme Manager System (ProMS) requires the existence of approved AWPs or workplans, before any transactions can be initiated.

3. UNICEF programme officers and their Government and, where applicable NGO/CSO counterparts, jointly prepare the AWPs, usually after the annual review of the current year's programmes and projects. Some countries combine the annual review with a planning meeting, to agree on the AWP content. The AWPs must:

- set specific and measurable objectives, with clearly defined outputs, which can be achieved by December of the same year with the available funds, and which contribute to the expected 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 indication that the activity is still unfunded);
- ensure that the recommendations of the last annual review are applied.

See Section 3 in this chapter on setting annual objectives, defining budgets and supply planning.

4. The Programme/Project Officer prepares the detailed AWP for *each* project, 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 as their day-to-day project work plans.

5. 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 March either through signature on the AWP cover page or through an exchange of letters. In cases where the AWP is prepared on paper, the

Programme/ Project 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:

Table 4.1: Annual Work Plan (Cover Page)				
Country:	Year			
Programme Code and Title:	Programme Cycle:			
Project Code and Title:				
Responsible Officer(s):				
UNDAF Outcome(s)	<input style="width: 100%;" type="text"/>			
5 Year Programme Outcome(s)	<input style="width: 100%;" type="text"/>			
5 Year project Result(s)	<input style="width: 100%;" type="text"/>			
Annual Project Result(s)	<input style="width: 100%;" type="text"/>			
Implementing partners				
Programme Narrative	<input style="width: 100%;" type="text"/>			
Budget		Allocation	PBA No.	Expiry Date
	Regular Resources			Donor Name
	Other Resources			
	Other PBAs:			
	Total Funded:			
	Unfunded			
	Estimated Budget:			
Signed on behalf of Government		Signed on behalf of UNICEF		
Name: _____		Name: _____		
Title: _____		Title: _____		
Date: _____		Date: _____		

6. All evaluations, data collections exercises and studies planned for the year (according to the updated IMEP) should be listed as activities in the AWP, together with their requisite budgets, personnel, expected outputs and timeframes. This includes activities relating to the SITAN. The timing and responsibilities for major evaluations or research activities should be specified.

7. The result is a detailed plan setting out what will be accomplished during the year. If a [LogFrame](#) was used to design the programmes and projects (see Chapter 3, Section 3), the AWPs seamlessly link to these, as well as to the Integrated Monitoring and Evaluation Plan (IMEP).

8. Programme staff will reserve, in ProMS, all funds noted in the AWP, and the Representative or Senior Programme Officer will then authorize the first workplan generated by ProMS, for each project. The ProMS-generated workplan represents the portion of the 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 3 are being met,
- relevant partners have endorsed the AWP in writing.

Authorization of the ProMS-generated workplan will release the reserved funds for requisition.

Table 4.2: Annual Work Plan for [Project]							
Annual Project Result(s):				Year: Programme Cycle:			
Activity Description	Planned Output	Timeframe	Planned Amount	PBA(s)	Reservation	Partners(s)	Responsible Person
1.Subproject Description:			Objectives:				
Estimated Budget:							
Funded:							
Unfunded:							
1.1....							
1.2...							
.....							
2.Subproject Description:			Objectives:				
Estimated Budget:							
Funded:							
Unfunded:							
2.1....							
2.2....							

9. It is sometimes necessary to shift funds from one activity to another. This could be the case when unspent balances of one activity need to be reallocated. In each case, the ProMS-generated workplans need to be re-authorized. Any re-authorization corresponds to a change in the original Annual Work Plan, and the authorizing officer has to ensure that this change is in accordance with the same quality criteria described in paragraph 3. This is also required when a project has received additional funding. Agreement from Government should be obtained if the corresponding changes to the original AWP are substantial.

10. The UNICEF Programme/Project officer, using ProMS, can now go through the stages of requisitioning, obligating and paying for the agreed inputs.

Joint Programmes and Projects

11. If in the course of joint preparation of the CCA and UNDAF, two or more agencies decide to support common project results, they may decide to extend their coordination to the level of annual activity planning. Where for example two or more agencies 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 one single AWP, for endorsement by the implementing national or sub-national partner. This will be referred to as a Joint Project or Joint Programme, if most AWP's belonging to a Programme are common or joint AWP's (see EXDIR/2004-xxx on Joint Programming and the [UNDG Guidance Note on Joint Programming](#)). A Joint Project Document will normally be prepared by the participating agencies.

12. 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 support activities, and may also reflect 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 EXDIR/2004-xxx on Joint Programming and the [UNDG Guidance Note on Joint Programming](#)).

Project Monitoring, Field Trips and Progress Reports

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

14. Well-planned field trips are indispensable for monitoring progress and the ongoing relevance of activities. Aside from allowing judgements on the quality and timeliness of the 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 all 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 11 for a [checklist for field trip planning](#) and follow up)

15. 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.

16. 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, progress reports on the use of cash assistance, meeting records and summaries of reviews and related evaluations should be systematically collated, and form the basis for the Annual Review and Annual Report.

17. Table 4.3 shows the AWP progress report generated by ProMS:

Table 4.3 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..									

18. The ProMS-generated Project Progress shows, among others, actual output compared to planned output and actual expenditure against funds budgeted.

19. 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 (Annual Review)

20. A mandatory Annual Programme Review is organised jointly by the government and UNICEF, convened by the government, and normally involves all organisations with significant roles or interests in the Country Programme, including NGOs/CSOs, UN agencies, and donors. A joint annual review with other participating UN agencies and national partners will be held for Joint Projects. The Regional Office may participate in some cases, but does not generally do so. The principal purpose of the annual programme review is to:

- assess progress in the achievement of expected results as described in current year's AWPs;
- assess the contribution of each programme/project to the CP Key Results and the organisational priorities expressed in the MTSP;
- identify problems and constraints, and review the effect of measures already taken to address those;

- check whether [planning assumptions](#) are still valid, and whether complementary programmes and contributions from other partners are forthcoming as planned;
- identify emerging opportunities to accelerate the achievement of the planned results;
- assess the usefulness, actual use and status of cash inputs, supply and logistics inputs and technical assistance to government and other partners;
- review the implementation of evaluation and research activities planned for in 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;
- provide input to the design of the following year's AWP.

21. Annual Reviews are held around November or early December. Preparation usually begins earlier with the Government, other counterparts and the UNICEF Programme/Project Officer(s) compiling reports for the review meeting. 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, the review compares achievements against the planned objectives, inputs and outputs as described in the AWP, with an analysis of the reasons for success or failure. See [PRO/1998/07](#) for more details on Annual Programme Reviews. Procurement Services operations – where they exist - should be included in the review (see Chapter 6, Section 14).

22. There is no set format for the structure of the annual review. The degree of formality and elaborateness of the reviews is best determined by the Government, the UNICEF Representative and CMT. Elaborate reviews require more preparation and need to be justified in terms of an improved future direction of the CP or its components. Annual review meetings may be held separately for each programme/project or in specific districts or municipalities where the CP is focussing (allowing for more detailed discussions and participation), the findings of which may be presented to an overview meeting, chaired by a senior government official from the ministry with responsibility for cooperation with UNICEF.

23. Immediately following the annual review meeting(s), the UNICEF Representative and the concerned government authority confirm the major findings, conclusions, agreed recommendations and follow-up actions of the Annual Review through signature of the minutes, or through an exchange of correspondence. The minutes or similar reports must be shared with the UNICEF Regional Director.

24. The recommendations feed directly into the preparation of the CO Annual Report and of next year's AWP. Some offices schedule meetings for each programme, whereby progress in relation to the current year's AWP is reviewed during the first day, and the outline for next year's AWP is discussed at the following day. This procedure is particularly efficient if the review includes participation from programme partners who are based outside the capital.

25. Especially where a new proposed CP significantly differs from the current one, the final-year annual review of a CP is not expected to make specific recommendations for activities in the forthcoming year. Instead, the final-year annual review could take the form of an exercise in performance reporting. It then focuses on the entire CP cycle and provides:

- a summary of overall achievements in the CP period;

- a synthesis from previous evaluations of changes in the situation of children’s and women’s rights attributed to the CP achievements; and
- a synthesis of lessons learned during previous reviews and evaluations.

26. Such an “End-Cycle” review draws from the MTR, all existing programme and project evaluations, audits and self-assessments, and the experience gained during the preparation of the new CP. It should make reference to the Results Matrix and the IMEP, in particular to key indicators of performance and strategic results as established during programme preparation. The exercise should avoid exhaustive listings, and focus on highlights and illustrative examples. The involvement of an external evaluator for this final-year review could be considered. This synthesis should feed into a focused and dynamic discussion of conclusions and lessons learned with CO staff and national partners. It should also be shared widely in UNICEF as a contribution to organisational learning and documentation of experience.

Annual Management Plan (AMP)

27. 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), which is the yearly operational plan.

28. 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 provides details on the annual programme and management priorities and specific management mechanisms to be used for the year ahead, including how the office will strategically advocate and build partnership with other allies. The AMP forms the basis of the key assignments of the Performance Evaluation Report (PER) for each staff member, and of individual or section workplans.

29. The AMP includes a description of the committees, teams and calendar of activities, and thus links those management mechanisms to the strategic results of the Country Programme. An important part of the AMP is an updated Emergency Preparedness and Response plan (see [chapter 6, section 8](#)), to ensure that the office is able to meet its [Core Commitments for Children](#). The security of staff is a crucial factor when operating in unstable environments.

30. The Representative is accountable for the preparation of the AMP, with the support of the CMT. 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.

31. The structure, and content of the AMP are as follows (refer to [CF/PD/PRO/ 2001-01](#)):

- *Programme and Management Priorities and key results* of the programme components which are substantially within the control of UNICEF; key aspects of coordination among

partners; key advocacy themes and how they will be pursued; and key partnerships that will be expanded and how this will be accomplished;

- Country Programme structures, and updated organogrammes and accountabilities (e.g. Table of Authority (ToA) and Document Authorization Table (DAT));
- *Key office improvement measures*; schedules and membership of management meetings (e.g. CMT); responsibilities for key planning and monitoring events and documents; membership of office committees (e.g. APC, CRC, Staff Association, Ombudsperson), taskforces, and focal points (e.g. gender focal point); and how they help to keep resources focused on the expected key results;
- Key office planning documents, the training/learning plan, office calendar and schedules, donor reporting schedule, leave and travel plans, the annual IMEP (format included in [Chapter 6, Section 6](#)), and all AWP's;
- Updated emergency preparedness plan, describing responsibilities and actions to be undertaken within the first days after the onset of an emergency;
- The AMP may also include a description of performance criteria for all categories of staff, including the proportion of time that staff is expected to spend on field monitoring; an outline of those procedures and work processes that often go wrong or are misunderstood; office policies (e.g. on media contacts, use of office transport);
- A set of quality assurance indicators and benchmarks (or checklists) for programme and operations management, from all of the above, to be regularly reviewed by the CMT. These will likely include some of the indicators that COs report on in the Country Office Annual Report as well as regional quality assurance indicators where these have been established. The set of indicators should be easily presented on one page. Means of verification for quality assurance indicators will most often entail simple workplan monitoring or extracting data from PROMS (e.g. frequency of field monitoring visits is easily tracked). However, in cases where CO monitoring systems must be created or improved (e.g. establishing common field visit formats for monitoring use of UNICEF resources) these tasks should feature in the annual IMEP.

32. The AMP should contain clear Terms of Reference for the Country Management Team (CMT). The CMT is the central organizational structure in any UNICEF Country office. The CMT serves to advise the Representative on policies, strategies, programme implementation and performance, and how to keep human and financial resources focused on the expected key results of the CP. (see [E/ICEF/Org./Rev 3](#)). This includes, for instance:

- Audit and evaluation follow-up
- Office improvement plans
- Budget re-allocations
- Supply and logistics status
- Status of cash assistance
- Donor Report status
- Recruitment status
- Staff welfare (including HIV/AIDS prevention and care)
- Major programme direction
- Workplan for SITAN preparation
- Workplan for CP preparation
- Major programme milestones
- Fundraising
- Regional linkages/networks
- Work processes
- Advocacy priorities and opportunities

33. The CMT will review the functioning of office committees, including the Appointment & Placement Committee (APC), Contract Review Committee (CRC), Property Survey Board (PSB), Training Committee and Joint Consultative Committee (JCC). The CMT is usually chaired by the Representative and includes all Heads of Sections and the Chairperson of the Staff Association, as well as a staff member representing the General Service staff. It should meet once a month, or more often if required.

34. Especially where programmes are organized by sector, offices should consider a schedule of programme meetings, usually chaired by the Senior Programme Officer and including staff in operations and communication functions. The purpose is to strengthen co-ordination among programmes and sections, discuss cross-cutting priorities, including those relating to the MTSP priorities, and to share important information. The programme meeting also reviews programme performance in terms of status of work planning and financial implementation. The responsibilities of the CMT and programme meetings should be clearly delineated.

35. 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 [PRO/2001-01](#).

Annual Management Review (AMR)

36. The Annual Management Review (AMR) is carried out at the end of the year, in conjunction with or following the Annual (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 into the Country Office Annual Report.

37. The review is internal, with full participation of office staff, and sometimes takes the form of a retreat. It provides an opportunity to clarify working relationships, responsibilities among teams and individuals, ensuring that all staff members have a clear sense of their part in the achievement of results for children and women. The main lessons and recommendations, should be written up, circulated among all staff and used for the next update of the AMP.

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

- How successfully was 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?

- Were assessment, planning, monitoring and reporting documents used to focus resources on the expected 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 expected 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 still 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?

39. The effort that offices put into the AMR will depend on the size and complexity of the programme. A major effort – and Regional Office involvement - may only be necessary when there have been major changes in the programme 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, and those with budgetary implication will require approval by the PBR.

40. The AMR is particularly important in the penultimate year of the CP, when preparations for a new UNDAF and CP have started. At this stage, COs should begin to take a wider focus to cover strategic management issues that need to be addressed in the next CPMP. For more details on AMRs refer to [PRO/1998-07](#).

Annual Report

41. 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.

42. Once the Annual Programme Review and 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 priorities expressed in the MTSP. The format 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 also provides for deadlines for submission of the CO annual report, as well as for the Regional Analysis Report prepared by the Regional Office. 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)

43. 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](#)). In the year of an MTR, the Annual Review may form part of the wider MTR process. In countries with an UNDAF prepared in 2003 or later, the MTR will 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 expected results, identify and make provisions for mid-course adjustments in the key elements of the CP design as approved by the Executive Board and established in the CPAP;
- assess whether modification in the CP results, strategies and content, the 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;
 - 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; changes in access and logistics)
 - changes in national or UNICEF policies and priorities as expressed, for instance, in the PRSP 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.

44. The MTR is typically the most substantial of all review exercises in a Country Programme and should be as structured, 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, as in a major impartial evaluation;
- Systematic comparison of findings across different approaches, types or sources of information, methods of data collection and types of analysis;
- The MTR draws on monitoring reports, evaluative activities or completed evaluations. At least some of these should provide right 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 partners;
- Achievements in terms of the quality of both outcomes/impact and processes.

45. As one option, the methodology of the MTR can take the form of a *Country Programme Evaluation (CPE)*. A CPE is externally facilitated and broad in scope. A CPE focuses on information needed for strategic decision-making and improving overall CP performance. The CPE will not lead to lessons and recommendations at the level of projects and activities; it will rather focus at the level of the strategic contribution of the UNICEF-assisted CP to the evolving situation of children's and women's rights. CP goals will be reviewed in relation to the MTSP targets, the national and UNDAF goals and the country report to the Committee on the Rights of the Child. The CPE will give attention to questions of relevance:

- at the broadest level, is the CP focussing on the right issues?;
- specifically, are the key issues for children's and women's rights identified in the SITAN, CCA and CPD still relevant?;
- is the positioning of UNICEF support appropriate, in relation to the support from other partners addressing similar issues?;
- is the balance between pilot and tested and proven interventions appropriate?
- In terms of effectiveness, efficiency and sustainability, can successes of the CP be taken to scale?
- What can be learned from both successes and failures?

A CPE can look at these issues over the period of one or more than one programme cycle.

46. A CPE can be proposed as a methodology for the MTR by the CO, the RO, RMT or Headquarters. It should involve the RO, RMT and/or Headquarters in design and management through some form of steering group. Examples and draft guidance can be obtained from the Evaluation Office.

47. 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 Evaluation is planned, the MTR workplan should form part of the overall UNDAF evaluation workplan. The work plan typically includes the date for the MTR meeting, the preparation meetings, schedule and focus of consultations, the programme, project, sub-national or thematic evaluations to be carried out, 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.

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

49. The review meeting lasts from half a day to two days. It reviews the progress of the CP in relation to the original expected 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.

50. 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.

51. 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 still 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.

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

53. 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 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, help update the CPMP if significant management or staffing changes are being proposed for submission to the PBR, and form the basis for the following year's AMP.

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

55. 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 will probably be necessary.

Programme/project evaluations

56. For the purposes of accountability, the CO should carry out at least two major programme or project 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.

57. 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

58. 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 building, 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 priorities).

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

Resource Mobilization and Reporting

60. UN reform, the overall orientation towards the Millennium Development Goals, expectations of engagement in PRSPs and SWApS, and the emergence of Global Funds have made fundraising increasingly competitive. [EXD/2003-013](#) underlines the need for all staff to understand their role as members of a global, organization-wide fund-raising team.

Fundraising Strategy and Plan

61. Country Offices should have a clear fund raising 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 [Resource Mobilisation Checklist](#) is available on the [PFO website](#) to assist in preparation of the strategy. The strategy should be a practical document. It should outline the main existing and potential governmental and inter-governmental funding sources, as well as opportunities in the private sector including National Committees.

62. As part of the AMP, the office should set specific resource mobilization targets for the year 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), Brussels Office (EU/ECHO) or GRO (National Committees). A list of focal points is included in [EXD/2003-013](#) and the [PFO website](#). The plan should also describe responsibilities for resource mobilization and the preparation of proposals, donor reports, and related documentation. The office should also maintain awareness of the potential for accessing contributions through the Inter-Country Programme funds ([PRO/2004-01](#)).

63. The CMT or a specific resource mobilization task force should monitor the implementation of the resource mobilization action plan and ensure that staff is aware of:

- the annual fund raising targets and unfunded balance of the approved CPD;
- planned resource mobilization activities; and
- status of the development of proposals for the unfunded portion of the CPD.

Proposals and Budgets

64. A fundraising proposal is not only a description of a programme. It is both an invitation to donors to finance UNICEF support to a programme or project, and a commitment by UNICEF to support the achievement of results in an area where UNICEF has a comparative advantage.

65. 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 and the expenditure statements in donor reports should be reasonably consistent.

66. UNICEF proposals should use a format of “issue”, “action” and “impact” (see the [UNICEF Brand Book](#)), which is also recommended for donor reports. For emergency programme proposals, additional guidance is available on the PFO website (see also chapter 6, section 9, and [Resource Mobilization in Emergencies](#)). 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](#). The proposed budget should mirror the structure arising from the Annual Work Plan in ProMS, at programme, project, sub-project or activity level, as appropriate. This will link the originally proposed budget with the ProMS generated commitment or expenditure reports, which will be shared with the donor as part of the progress or final report.

67. A generic proposal is a proposal not addressed to a specific donor. Budgets for generic proposals - such as for humanitarian action- should use a recovery rate of 12% with a footnote indicating that “the actual recovery rate on individual contributions will be calculated in accordance with UNICEF [Executive Board Decision 2003/9](#)”. A proposal and budget for a specific donor should use the specific associated recovery rate, where known.

68. 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.

69. Agencies participating in a Joint Programmes or Projects may decide to jointly seek funding, or donor agencies may wish to transfer their resources to only one agency instead to all participating agencies. This is referred to as Pass-through fund management. The participating agencies elect from among themselves an Administrative Agent, who assumes responsibilities for the submission of proposals and reporting on funds utilization (see [UNDG Guidance Note on Joint Programming](#)).

Donor Agreements

70. Donor conditions, arrangement for transfer of funds, 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 donor focal point before finalisation.

71. 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. [Guidelines on Points and Pitfalls in OR](#) on the PFO site may help 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](#).

Recovery Rate

72. Staff are encouraged to familiarize themselves with i) [Executive Board decision 2003/9](#) on the UNICEF recovery policy; ii) [EXD/2003-013](#) on Fund-raising; and iii) [CF/AI/2003-035](#) on Thematic Contributions. The latest cost recovery rates are 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.
- Recovery rates differ among UN agencies, and are not yet based on a transparent and harmonized methodology.
- While the UNICEF Executive Board has adopted the recovery policy for UNICEF, this is no yet the case for all other agencies. The UNICEF method for cost recovery is based on recommendations of the Joint Inspection Unit and ACABQ.

Contribution Management

73. The office 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.

74. The CO should be aware of the utilisation and reporting requirements agreed to with donors for all contributions. Detailed guidelines on how to register donor reporting conditions in ProMS are available on the [PFO website](#). When verifying a PBA in ProMS, the office acknowledges the donor conditions attached to the contribution.

75. 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 when required. The status of OR contributions can be monitored through the Rover Briefing Book

76. The office should submit requests for the extension of the use of PBA funds to PFO (and to locally based donors as appropriate) at least three months before the expiration date of a PBA.

Donor Reports

77. Donor agencies and UNICEF National Committees are subject to stringent scrutiny by the public, parliamentary committees and auditors. UNICEF is therefore 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 need to prepare excellent reports to account for the resources entrusted to the organisation and to help raise additional resources.

78. A generic format for reports to government donors is available on the [PFO site](#). 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. Likewise, GRO has issued guidelines for reporting to National Committees. Human interest stories are an important supplement to the formal reporting. The Brussels Office provides guidance for reporting on EC/ECHO contributions.

79. 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. 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 PFO Intranet) should be attached. When submitting a report to a donor, the [donor feedback form](#) should be attached (also on the PFO Intranet).

80. Representatives ensure that the timetable for donor reporting is part of the AMP and frequently reviewed, and that individual workplans include the timely preparation of reports. Performance Evaluation Reports (PERs) should include this essential element of performance. [CF/PFO/002](#), issued by PFO, explains how ProMS can be used to monitor the timeliness of donor reporting,

provided that contribution data is correctly entered.

81. 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 under which the funds were received;
- consistency with previous 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 PFO, well before the expiry date, of any need for extension of the grant agreement;
- analysis of collaboration with other agencies;
- accurate and up-to-date status of funds and requisitions in accordance with the approved budget;
- plans for the future use of remaining balance of funds.

82. 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 should be provided, if necessary. Offices are encouraged to locate the overall responsibility for reporting with senior staff.

83. Individual donor reports are not normally required for contributions under \$100,000 per year. Edited versions of the CO Annual Reports may be used as a basis for reports for such contributions. However, many donors require Utilization (financial) Reports. Where progress reports are required by the donor for amounts under \$ 100,000 per year, PFO seeks the prior approval of the concerned UNICEF Representative.

84. 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 generic report to specify what the funds from the individual donor were used for;
- a separate utilization report on the donor's contribution is attached.

85. For reporting on thematic contributions refer to [CF/AI/2003-035](#). This should be read in the context of [Executive Board Decision \(1999/8\)](#) on the UNICEF Resource Mobilization Strategy, and [CF/EXD/2003-013](#) on fund-raising.

86. Where there are multiple donors to an emergency response, the submission of one consolidated report with attached individual financial utilisation reports can be negotiated with the donors, as explained in detail in [CF/EXD/2001-08](#), and guidelines for the Emergency Consolidated Report

87. As part of their oversight function, Regional Offices are responsible for monitoring Country Office reporting performance: the quality of reports, their timeliness and compliance with reporting conditions. [CF/PFO/002](#) explains how Regional Office can exercise this oversight

through the use of the Rover Briefing Book, or through regular sampling of donor reports.

88. Utilization reports included in donor reports which are based on PROMS/COGNOS 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. DFAM prepares cumulative official financial statements, individual financial statements for completed projects or contributions, and individual financial statements upon request from PFO.

Section 2. The Programme Manager System (ProMS)

Basics

90. The Programme Managers System (ProMS), which combines planning, budgeting and financial management, is the software used by UNICEF field offices to plan, implement and monitor the Country Programme, and to report on programme implementation.

91. ProMS links, through activity inputs, all requisitions, obligations and financial transactions to the budgets of the Annual Work Plans (AWPs) 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 authorised only for inputs that directly contribute to the objectives jointly agreed upon between the Country Office and the cooperating partners.

92. 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’. Budgets and expenditure records are also replicated almost instantly in the financial database at Headquarters. ProMS is currently 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).

93. 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 authorising, 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.

94. 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

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

96. The Annual Work Plan (AWP) is developed at the end of the year, or very early in the new year. AWP can be developed directly in ProMS. If a AWP is developed on paper during a planning meeting with government and other partners and the AWP is agreed, the information contained in it is transferred, through the Planning Outline, into the ProMS database. The content of a AWP is described in Section 1 of this Chapter. A project includes one or more sub-projects (which can change from year to year), and one or more activities for each sub-project.

97. In ProMS, the level at which funds are reserved and inputs are defined is the “activity”. Inputs can take the form of cash, supplies, services, staff and travel. Each input must logically support the implementation of the activity under which is recorded.

98. The concerned project officer will, in ProMS, identify and reserve the funding source or programme budget allocation (PBA) that will be used to finance the activity. A staff member designated as an Authorising Officer will authorise this reservation of funds, once he/she is convinced that the use of the particular funding source is appropriate for carrying out this activity, and that the reserved amount meets the stipulation of the AWP as agreed with partners (see paragraph 7 of this Chapter). The funds are now blocked for this activity, and can only be re-allocated if the funds are un-reserved and the workplan is changed and re-authorized. (Note: in ProMS, an authorization of a workplan only authorizes the funded portion of the AWP).

99. The project officer then creates requisitions specifying the particular inputs needed to carry out the activity. A supply requisition sets out the supply items and costs, a service requisition provides the Terms of Reference, dates and budgets for a consultant or service provider, and a travel requisition includes the name of the traveller, purpose of travel, and destination. A staff member designated as an authorising officer will authorise such input requisitions, once he/she is convinced that the type and costs of the inputs are needed to carry out the activity.

100. Next, 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.

101. 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.

102. The same staff member, who authorised the procurement of the input, now reviews the certified invoice and supporting documentation for approval of the payment. 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.

103. 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 is prepared. The designated paying staff member confirms with his/her signature that it is a correctly recorded and valid payment.

104. If a payment was given as an allocation of Cash Assistance to Government (CAG), and though the payment is recorded as expenditure, the monitoring record is not closed pending submission of reports substantiating that funds have been used for the intended purposes. Based on receipt of this evidence, the project officer authorises closing of the monitoring record ([see Financial Circular 15, Rev.2](#)).

Accountability and Financial Control Mechanisms

105. 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”.

106. While implementing programmes and conducting transactions, staff members need to take different actions in ProMS. These include the drafting of documents, finalising, authorising, certifying, approving, signing, paying, deleting, closing, editing, 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.

107. *Authorising*. A staff member responsible for a budget item authorises the commitment of UNICEF funds, confirms that funds are available and that the requested input is needed. Authorisation is required prior to any obligation of UNICEF funds. If at a later stage a procured input 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, authorisation is required for the reservation of funds, and for requisition of any inputs. Authorisation of a reservation of funds confirms that the selected contribution can be used to finance the proposed activity (i.e. that the funds were not earmarked for something else), and that the activity is part of the AWP (previously called PPA) as agreed with programme partners. Authorisation of a requisition confirms that the type of input is appropriate to carry out the activity.

108. *Certifying*. 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 this specific input. 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 input 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/delivery note, and is recorded in ProMS.

109. *Approving*. A person will approve a payment request, confirming that the input (based on the completed certification) agrees 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. The person who originally authorized the procurement of the input is the best person to confirm that the procurement has taken place according to what was

authorized and payment can be made. It makes sense, therefore, that the authorizing and approving officer is the same person.

110. *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.

111. 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 an input that has not been received.
- The approving officer must not be the paying officer, in order to prevent the release of funds for an input that has not been received.

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

Segregation Of Duties

112. 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.

113. 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.

14. 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.

115. 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)

116. 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. 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.

117. The Representative approves the details of the DAT in writing to the ProMS System Administrator, preferably based on the discussion and recommendations by the CMT. Only the System Administrator is able to make changes to the DAT. Any change in the DAT needs to be authorised, in writing, 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).

118. ProMS also restricts budget and input planning (drafting, editing, finalizing) 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.

119. 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. The following are some suggestions for ensuring clearly defined authorities, and establishing a broad distribution of responsibilities. A workshop tool for the establishment and analysis of an office's financial controls in ProMS can be found at [OIA facilitation tools](#).

- 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, rather than sharing passwords, is the only correct way to distribute workload evenly.

120. Delegation of responsibilities must be accompanied by periodic monitoring of their fulfilment by the senior staff in the office. This will ensure that the functions continue to be carried out responsibly, so that Representatives can fulfil 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

121. 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 deadlines.

122. 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 projects, sub-projects 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.

123. 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.

124. The proper use of the Programme Information Database (PIDB) coding in ProMS at the activity, project and programme level provides UNICEF with the only means to report on the allocation and expenditure of funds against sectors and priorities. As an organization committed to demonstrating results of assistance, all staff are required to carefully use the PIDB codes in ProMS so that UNICEF is able to report on the use of resources for the Organisational Priorities, by country, regionally and globally and by Regular and Other Resources. The latest version of the PIDB coding system is found in [CF/PD/PRO/2002-002](#). Each Office should periodically review the accuracy of its coding.

125. The Rover 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 3. Annual planning – turning plans into practice

126. This Section describes key considerations 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.

127. Following the Annual Review, UNICEF staff, Government and other programme partners develop joint workplans for the following year. The format of the AWP as described in Section 1 of this Chapter must be followed to ensure that the necessary 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 expected results. Only a 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 is useful to also include necessary outputs and 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.

128. 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 annual AWPs

129. *Learn from prior years' work:* the outcome of the Annual Review should directly lead to the formulation of next year's plans. The annual review would usually highlight the findings of any evaluations completed during prior years, which should be carefully considered.

130. *Relate to the expected results and strategies described in the CPAP:* annual project planning must not attempt to redesign the Country Programme. Annual outputs and activities must contribute to the goals and expected results 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.

131. *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 position 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).

132. *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.

133. *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 preparation or update of the SITAN, MTR or a new Country Programme should be included in the AWP, as appropriate.

Formulating SMART Results

134. The attainment of results at project and sub-project level should directly depend on the satisfactory completion of the scheduled activities (and not on the contributions of agencies which are not part of the AWP itself). Before deciding on the annual result of a project, the project 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.

135. To ensure a focus on results, "change" language, and not "action" language should be used when preparing AWPs. 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/result: 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 acquainted with 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 a sample survey or effective supervision system that also checks whether interactive teaching is applied. The results chain leading to better learning achievements by children is clear.

136. Effective annual AWPs will have SMART planned results:

- 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 results can feasibly be attained by UNICEF and programme partners. 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

137. At the level of the AWP and project implementation, 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.

138. Programme managers need to foresee the phasing and progression of activities, identify the relationships between them and how they combine into a sum of actions that provide the best chance of achieving the expected 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

139. Activities are the ‘planning level’ at which UNICEF, through ProMS, reserves funds, incurs obligations and makes payments. Well-defined activities in the agreed annual AWPs greatly facilitate the procurement of the necessary inputs, and reduce the need for ongoing clarification or renegotiations during the course of the year.

140. 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 it is not clearly recorded, including in the AWP.

141. 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 Workplan, to ensure immunisation outreach to all communities”).

142. Aside from pinpointing responsibilities, a detailed description of activities also helps to identify the necessary inputs, and 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
- 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, lumpsum
- o Cash for launching events and promotion of the film
- o Supply requisition for duplication of video (1500 copies), etc...

143. ProMS generated reports are used for donor reporting. This should be kept in mind when phrasing the input description.

144. Budget discussions with programme partners should make clear that a timely request 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

145. 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.

146. 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 Annual Review 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 mention and budget for monitoring, evaluation and research activities, including field visits, and MTR and contributions to the SITAN, where relevant?
- Have AWP been authorised by the responsible officer?

Annual Reviews/MTRs

- Was the review held as scheduled?
- Did the annual review look at each project?
- Has progress been reviewed against the expected results and activities of the AWP?
- Were review findings and recommendations agreed upon with government and recorded?
- Were major donors, UN and NGO/CSO partners involved in the milestone meetings?
- Did the annual review 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 programme objectives or expected results in the CPAP, and has the ongoing validity of the expected results been reviewed with any necessary adjustments?

Annual Management Reviews (see also paragraph 32):

- Was the Annual Management Plan (AMP) updated at the beginning of the year?
- What is the estimated percentage of annual project objectives achieved?
- 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?
- Did the statutory committees function satisfactorily in support of key results?
- Were financial resources and staff time primarily used in pursuit of the planned results, or were there significant diversions?
- Has the emergency preparedness 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 annual estimated expenditure rate for RR and OR?
- What is the proportion of supply and cash assistance to government requisitions issued in the last 3 months of the year?
- What is the proportion of days spent by professional staff on field visits, compared to the established office standard?

- What percentage of approved and funded staff positions has remained vacant, and for how many months?
- 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 for the successful pursuit of the key CP results?
- What is the proportion of professional staff who had PPP training in the last 5 years?
- What is the proportion of PERs completed on time?
- What is the proportion of outstanding audit recommendations?

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 programme and project objectives 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-XXX](#), Guidelines on Joint Programming
- [CF/EXD/2003-022](#), Guidelines for the 2003 Country Office Annual Reports and Regional Analysis Reports (annually updated)
- [CF/EXD/2003-18](#), Guidelines for 2004 Consolidated Appeal Process
- [CF/EXD/2001-13](#), Revised Guidelines for Collaboration with NGOs and CBOs
- [CF/EXD/2001-12](#), HIV/AIDS Guidance Notes
- [CF/EXD/2001-08](#), Consolidated Reporting on Emergency Contributions
- [CF/EXD/2000-03](#), Procurement Services
- [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 Annual Reviews and Mid-Term Reviews
- [CF/SD/2003/002](#), Supply Planning

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](#).

Section 1. Key Conceptual Issues

3. 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

4. Both monitoring and evaluation are meant to *influence 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.

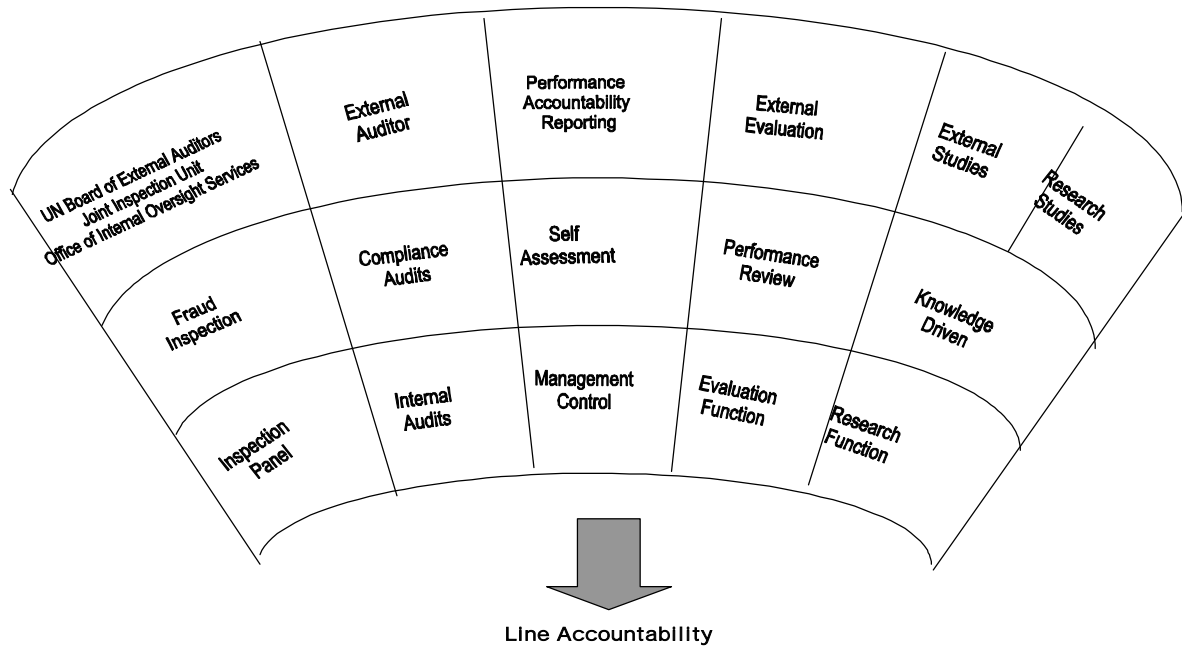
5. Inspection, audit, monitoring, evaluation and research functions are understood as different oversight activities situated along a scale (see Figure 5.1). At one extreme, inspection can best be understood as a control function. At the other extreme, research is meant to generate knowledge. Country Programme performance monitoring and evaluation are situated in the middle. While all activities represented in Diagram 5.1 are clearly inter-related, it is also important to see the distinctions.

Monitoring

6. 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 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.
- **Performance monitoring** measures progress in achieving specific objectives and results in relation to an implementation plan whether for programmes, projects, strategies, and activities.

Figure 5.1 Oversight activities



Evaluation

7. 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.

8. 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.

9. 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 is the UNICEF Mid-Term Review.

Audits

10. 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. ([ref. E/ICEF/2001/AB/L.7](#))

11. At country level, Programme Audits may identify the major internal and external risks to the achievement of the programme objectives, and weigh the effectiveness of the actions taken by the UNICEF Representative and CMT to manage those risks and maximise programme achievements. Thus they may overlap somewhat with evaluation. However they do not generally examine the relevance or impact of a programme. A Programme Management [Audit Self-Assessment Tool](#) is contained in Chapter 6.

Research and studies

12. There is no clear separating line between research, studies and evaluations. All must meet quality standards. 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.

13. In the simplest terms, an evaluation focuses on a particular intervention or set of interventions, and culminates in an analysis and recommendations specific to the evaluated intervention(s). Research and studies tend to address a broader range of questions – sometimes dealing with conditions or causal factors outside of the programme – but should still serve as a reference for programme design. A Situation Analysis or CCA thus fall within the broader category of "research and study".

14. "Operational" or "action-oriented" research helps to provide background information, or 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*). While not a substitute for evaluation, such research can be useful for improving programme design and implementing modalities.

Evaluation criteria

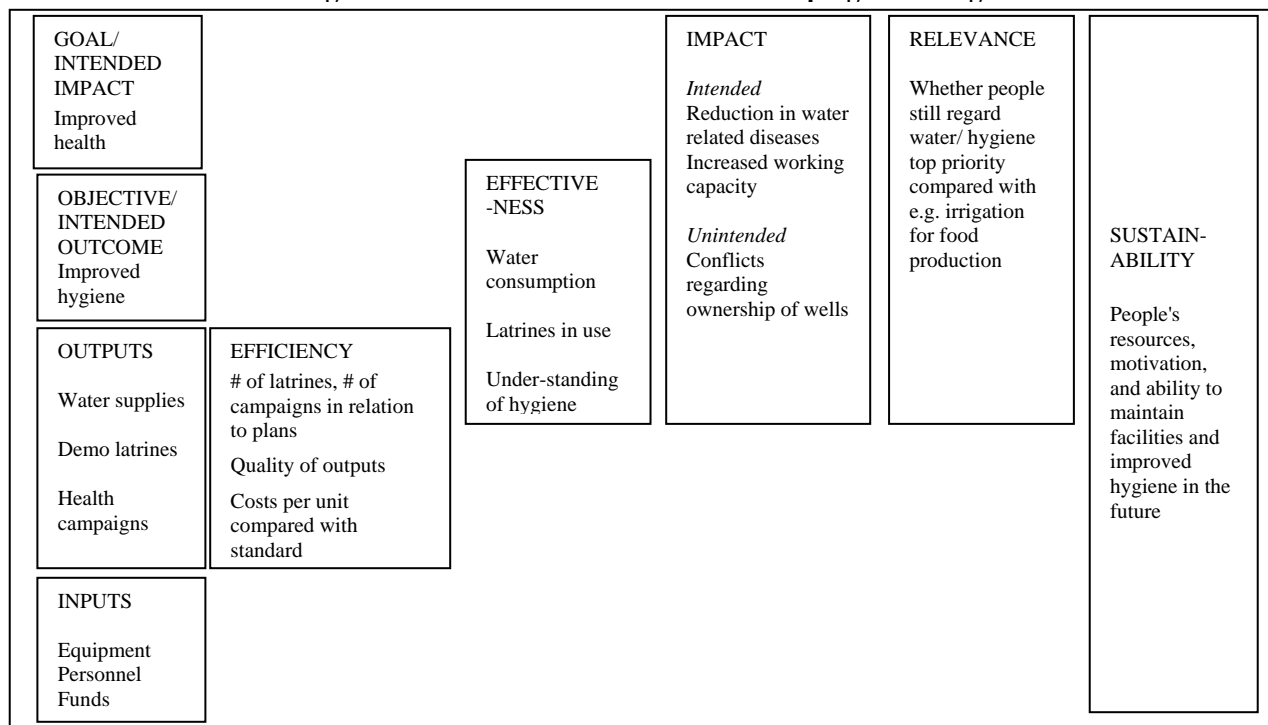
15. A set of widely shared evaluation criteria should guide the appraisal of any intervention or policy (see Figure 5.2). These are standard OECD-DAC evaluation criteria and have been adopted by UNICEF since 1990:

- Relevance – What is the value of the intervention in relation to other primary stakeholders' needs, national priorities, national and international partners' policies (including the Millennium Development Goals, National Development Plans, UNDAF, PRSPs and SWAPs), and global references such as human rights, humanitarian law and humanitarian principles, the CRC and CEDAW? For UNICEF, what is the relevance in relation to the MTSP, the CCCs, and key strategies -- Human Rights-based Approach to Programming 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 on individuals, communities and institutions?
- Sustainability – Are the activities and their impact likely to continue when external support is withdrawn, and will it be more widely replicated or adapted?

Figure 5.2 Evaluation Criteria in relation to programme logic



16. the evaluation of humanitarian action must be guided by additional criteria as outlined in [OECD-DAC guidance](#):

- Coverage - Which groups have been reached by a programme and what is the different 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 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 protection of different groups?

More detail on these evaluation criteria is provided in the [Evaluation Technical Notes](#).

Purpose of monitoring and evaluation

Learning and accountability

17. Learning and accountability are two primary purposes of monitoring and evaluation. The two purposes are often posed in opposition. Participation and dialogue are required for wider learning, while independent external evaluation is often considered a prerequisite for accountability. On the two extremes, their design – models, process, methods, and types of information – may indeed differ. However, as seen above in Figure 5.1, evaluation sits between these extremes. The current focus on wider participation by internal and external stakeholders and on impartiality allows learning and accountability purposes to be balanced.

18. *Performance monitoring* contributes to learning more locally, ideally at the level at which data are collected and at levels of programme management. It feeds into short-term adjustments to programmes, primarily in relation to implementation modalities. *Evaluation and monitoring of the situation of children and women* contribute to wider knowledge acquisition within the country or the organisational context. *Programme evaluation* not only contributes to improvements in implementation methods, but also to significant changes in programme design. *Evaluation* contributes to learning through both the process and the final product or evaluation report. Increasingly, evaluation processes are used that foster wider participation, allow dialogue, build consensus, and create “buy-in” on recommendations.

20. Monitoring and evaluation also both serve *accountability purposes*. Performance monitoring helps to establish whether accountabilities are met for implementing a 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 commitments in ensuring the realisation of human rights.

Advocacy

21. Monitoring and evaluation in UNICEF assisted programmes provide the basis for broader *advocacy* to strengthen global and national policies and programmes for children’s and women’s rights, through providing impartial and credible evidence. Evaluations of successful pilot projects provide the necessary rigour to advocate for scaling-up. Monitoring, particularly situation monitoring, draws attention to emerging children’s and women’s rights issues.

Early Warning Monitoring Systems

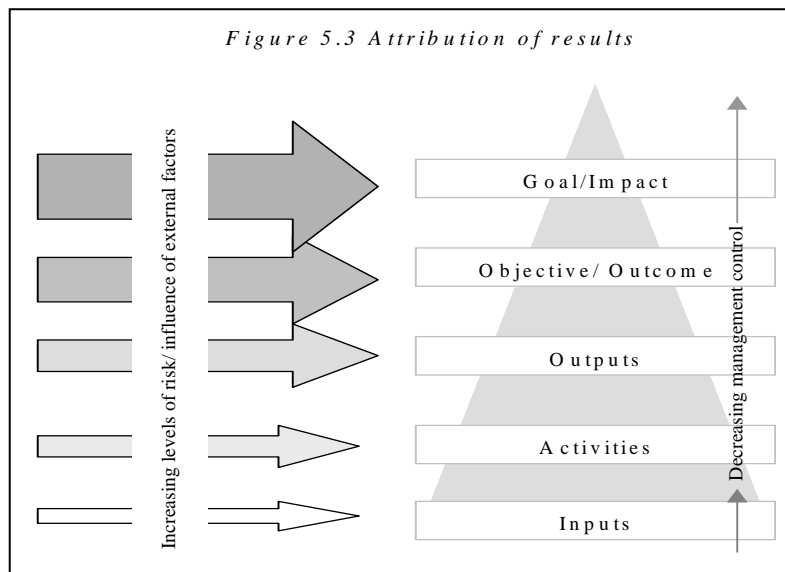
22. Country Offices should, within the UNCT, assist national governments to establish and operate a basic Early Warning System (EWS) and to strengthen the focus of existing systems on children and women. Early warning indicators help to monitor the likelihood of the occurrence of hazards, which have been identified during the preparation of the emergency profile ([see Chapter 6, Section 8](#)). 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). One of the key criteria for Early Warning indicators 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.

Attribution and partnership

23. 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*.

24. Difficulties in attribution to any one actor increase as programmes succeed in building national capacity building 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 SWAPs, CAPs, or the UNDAF Evaluation are possible examples.



Section 2. Situating Evaluative Activities in the Programme Process

25. 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 Children’s Goals Monitoring Child Info Regional 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 Annual Reviews Annual Management Reviews Mid-Term Management Review CO Quality Assurance Indicators	Country Programme Evaluation Mid-Term Review Self-Assessment
Programme/ Project	Mid-year progress reviews Field visits Expenditure tracking (ProMS) Supply tracking systems Annual Management Review	Programme/project evaluation

26. 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](#).

27. 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.

Section 3. Monitoring and Evaluation Responsibilities in UNICEF

28. Monitoring and evaluation activities have been described in Chapters 3 and 4, as they relate to the Country Programme planning and implementation. These included the [SITAN](#), 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/project level. This section describes responsibilities for the planning and management of these monitoring and evaluation activities. Also see [E/ICEF/2002/10](#) on the Evaluation Function in the Context of the Medium-Term Strategic Plan and the subsequent Progress Report on the Evaluation Function in [UNICEF E/ICEF/2004/11](#).

Integrated Monitoring, Evaluation and Research Plan (IMEP)

29. 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 6](#), and the [Evaluation Technical Notes](#).

30. 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.

31. 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 6. This requires a good results-based approach to programme planning.

32. 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.

33. . As mentioned in Chapter 3, 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, including financial and human resources. Further, the CO should not plan more research, monitoring and evaluation activities 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.

Quality standards

34. The Representative is responsible for the quality of UNICEF-supported research, monitoring and evaluations. Where necessary, technical support from the regional level, UNICEF HQ, or external sources may be sought.

35. Consistent with UNICEF 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 increasingly recognised as being a critical factor in use of M&E conclusions, recommendations and lessons. At the same time, efforts to increase participation must be coupled with attention to mechanisms to ensure the protection of 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 are expected to use the [Evaluation Technical Notes, No. 1](#) as a guide in this matter.

36. For evaluation, a number of explicit additional quality standards are well established. UNICEF promotes a utilisation-focused approach to evaluation. When designing, managing or participating in evaluative activities, the CO should consider how each aspect - scope, model, process, methods - will affect use by the intended audience. Consistent with this, the CO and RO have important responsibilities in respect to dissemination, which are discussed below.

37. UNICEF also promotes the use of standard OECD-DAC evaluation criteria including the newer criteria for evaluation of humanitarian assistance (see paragraphs 15 and 16). 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. Nonetheless, for all evaluations, COs and partners should explicitly consider each of the standard criteria in articulating the evaluation scope and limitations. Further, all UNICEF-supported evaluations should look at the relevance of programmes/ projects in terms of Human Rights-based Approach to Programming and Results-based Management. These are two key strategies in the MTSP and have increasingly wide acceptance in the international community as necessary characteristics of good programming.

38. For all evaluations, COs should use the [Programme Evaluation Standards](#) as a reference in terms of the desired evaluation process and product. These standards are increasingly adopted by national and regional professional evaluation associations. They include standards related to utility, feasibility, propriety and accuracy. COs are expected to use any nationally or regionally-specific variation where they exist and otherwise should use the versions adopted by the African or American Evaluation Associations.

39. Drawing from the Programme Evaluation Standards, UNICEF has developed a set of [Evaluation Report Standards \[Link\]](#) 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.

40. COs should use the Evaluation Terms of Reference as a means of clearly establishing all of the above quality standards. All evaluation TORs should include the following references to standards:

- in defining the scope and limitations of the evaluation, clear reference should be made to those standard OECD-DAC evaluation criteria that are and are not addressed, and to what degree;
- reference should also be made to the Programme Evaluation Standards as the characteristics of the desired evaluation process and product;
- in defining the evaluation methodology, where any involvement of children is contemplated, Evaluation Technical Note, Issue No. 1 should be mentioned as a required reference;
- in describing evaluation deliverables, clear reference should be made to UNICEF Evaluation Report Standards.

Copies of the above references should be systematically provided to all external evaluators.

41. Finally, COs should establish a mechanism for the quality assurance of Evaluation Terms of Reference. Such a mechanism could entail clearance by the Senior Programme or M&E Officer, a committee of programme staff or could draw on the expertise of external evaluation professionals. The evaluation TORs are the critical management tool for ensuring quality process and product. They provide the means of establishing the quality standards as mentioned above. Further, COs can 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.

Management of monitoring and evaluation resources

42. The Representative should ensure, and Regional Directors should verify that adequate resources are dedicated to monitoring and evaluation activities. The Executive Board recommends 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](#)). Monitoring activities of COs have increased, in particular with UNICEF support to monitoring the situation of women and children through 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, the Evaluation Office recommends that the originally defined 2 to 5 per cent be spent specifically on performance monitoring and evaluation. Activities covered by this may include: Annual Reviews, the Mid-Term Review, programme/project evaluations, research and studies, and surveys or other data collection for performance monitoring. In addition, further resource allocations should be made to support monitoring of the situation of women and children, including through Situation Analysis, as a strategic contribution to national knowledge.

Disclosure

43. Consistent with disclosure provisions established with national partners in the [BCA](#) progress reports and the findings of evaluations of UNICEF-assisted programmes are to 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. The evaluative reports which are internal to UNICEF are: the CO Annual Report, the Regional Analysis Report, and reports resulting from the Mid-Term Management Review and the Annual Management Review.

Management of effective learning

44. The Representative is responsible for ensuring that evaluation activities contribute to effective learning, for the CO itself, for programme partners and in conjunction with the Regional and HQ levels, for UNICEF globally. An important aspect in this is the management of the evaluation process, for which existing Programme [Evaluation Standards](#) are an important guide.

45. The Country Office also has primary responsibility for disseminating evaluation reports, and especially findings, recommendations and lessons within UNICEF and to programme partners, representatives of primary stakeholders involved in the evaluation, participating agencies and donors. 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.

46. 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 Offices 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.

47. The Representative is also responsible for follow-up to evaluation recommendations, and for seeing that lessons feed systematically into planning processes. This includes specifically 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, depending on the units, offices or institutions implicated in recommendations. Lessons are also systematically analysed in the Annual Reviews and the Mid-Term Reviews. A distillation of lessons learned must be summarized in and feed into the formulation of the Strategy Paper and the CPD, the CPAP, and the AWP.

48. Finally, COs, with regional level assistance where necessary, are responsible for contributing to strengthening national monitoring and evaluation capacities. National monitoring and data collection systems are key elements of national capacity to promote and protect children's rights.

PQAA Checklist – Monitoring and Evaluation

- Has the CO completed a new or updated the existing Situation Assessment and Analysis of children's and women's rights since the start of the programme cycle, or will it be completed before the end of the current cycle?
- 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 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 two to five 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/2001/AB/L.7](#) Internal Audit Activities In 2000
- [E/ICEF/2002/10](#), Report On The Evaluation Function In The Context Of The MTSP
- [CF/EXD/1997-01](#) Information Sharing on Evaluations and Studies
- [CF/PD/PRO/ 1998-07](#), Guidelines for 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 the Situation Analysis and Section 3 details how to undertake an environmental impact assessment (EIA). Sections 4 and 5 provide the outline (and standard text) of CPAPs and PPOs respectively. Section 6 goes into more details on the IMEP. Section 7 provides details on how to complete a Results Matrix for inclusion in the CPD and CPAP. Section 8, 9, and 10 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 emergencies, respectively. Section 11 includes a checklist for preparing, conducting and following up to field trips. Section 12 offers a tool for self-assessment for the quality of the programming process and programme implementation, and Section 13 provides guidance on how to promote participation of children and young people. Section 14 explains the Procurement Service Facility, Section 15 offers a tool to assess the status of Gender Mainstreaming and Section 16 describes important considerations when contemplating a pilot project.

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; help pages for ProMS or other IT related issues; security advisories and staff news, and discussion sites.

Of particular interest to programme staff are the [Document Repository](#) and [Manuals](#) sections of the Intranet, as well as the [Learning Web](#). The Document Depository contains full-length text of all new documents, 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. 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.

The Document Repository contains subsections, including:

- Executive Directives
- Programme Directives
- Executive Board documents
- Documents related to Programming in Unstable Situations
- Programme Reports, including Country Office Annual Reports, Regional Analysis Reports, Mid-Term Review Reports
- Other Key Programme Reference Materials
- Newsletters

For staff concerned with programme planning and implementation, the most important documents include:

- Executive Directives (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 EXDIRs.
- Programme Directives (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 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.

All staff should make themselves thoroughly familiar with the Intranet and the location of its various sections, and make it a habit to periodically check on new documents (e.g. check under [‘In the Spotlight’](#) section of the Intranet homepage).

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 preparing an update of the Situation Analysis, 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 any human rights based Situation Analysis of Children and Women 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. The Situation 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 regular Situation Analysis, 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 them¹.

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.

¹ 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 the regular Situation Analysis.

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 style="text-align: center;">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 organisations². 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.

² 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:

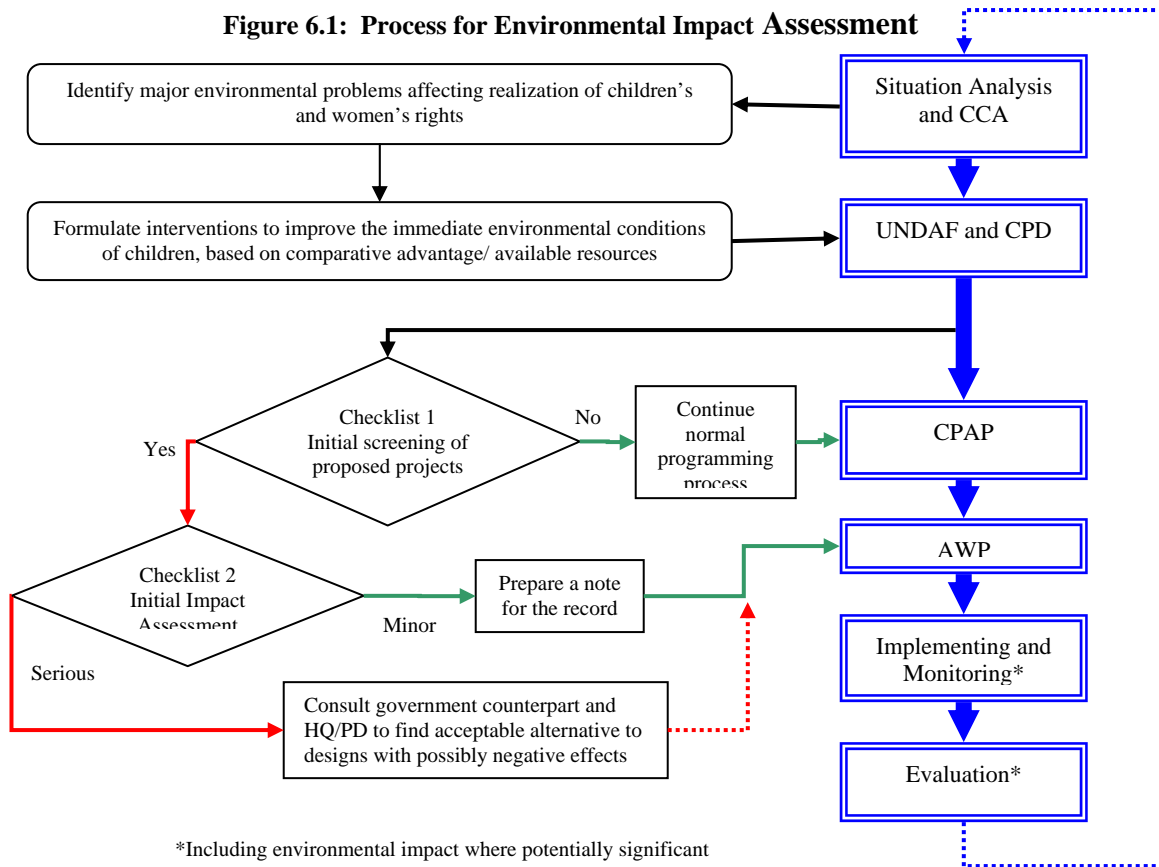
- while the construction of hand pumps for safe drinking water may not itself be environmentally harmful, an excessive use of groundwater for agricultural purposes in the absence of an integrated water resource management scheme can create serious water stress and other related environmental problems;
- 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;
- certain micro-credit schemes for income generation, especially if using technologies with low energy efficiency may also cause environmental consequences, such as air pollution due to combustion of coal or biomass, and water pollution caused by waste discharge;
- 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 – particulate, 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		Important sites

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

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.

environmental impact should be a) cancelled, b) modified or c) retained.

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 Situation Analysis and 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 [74-81 of Chapter 3, Section 2](#) and 124-135 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.

THE FRAMEWORK:

- *Furthering their mutual agreement and cooperation for the fulfillment 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), SITAN document, and Millennium Development Goals Report (MDGR). 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 strategic outcomes of the UNDAF. 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. PRSPs), 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 expected 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 15](#)), the generation of knowledge and promotion of local capacities and learning.
- 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

- implementation arrangements, including those for joint programmes or projects, where applicable;

- the process of annual planning, annual and any other reviews, together with the central role of the annual Work plan (AWP). For instance:

“The Government and UNICEF shall jointly conduct annual planning and review meetings for all programmes covered by this Country Programme Action Plan, usually in the last quarter of each year. Other UN agencies and representatives of multilateral and bilateral donors, as well as collaborating non-governmental organisations shall be invited to participate in these meetings as appropriate. Annual Work Plans (AWPs) will detail the activities to be carried out, the responsible implementing institutions, timeframes and planned inputs from Government and UNICEF. The AWPs are the basis for Government to request disbursements, supplies or services from UNICEF.”

- 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.
- 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 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;
 - Updates of the Situation Analysis of Children and Women and other research activities;
 - 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.

Part VIII: Commitments of UNICEF

“The UNICEF Executive Board has approved a total commitment not exceeding the equivalent of\$ from UNICEF Regular Resources, subject to availability of funds, to support the activities detailed in this Country Programme Action Plan, for the period beginning and ending”

“The UNICEF Executive Board has also authorised UNICEF to seek additional funding to support the programmes specified in this Country Programme Action Plan, referred therein as Other Resources, to an amount equivalent to ...\$. The availability of these funds will be subject to donor interest in proposed projects. To this end, UNICEF will undertake to advocate their support within the local and international donor community.”

“The above funding commitments and proposals are exclusive of funding received in response to emergency appeals, which may be launched by Government or by the United Nations System in response to a Government request.”

“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.”

Part IX: Commitments of the Government

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]*

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.

[exact language]: *With respect to cash assistance from UNICEF, the Government shall designate the names, titles and account details of recipients authorised to receive such assistance. Responsible officials will utilise cash assistance in accordance with Government regulations and UNICEF regulations and rules, in particular ensuring that cash is expended against prior approved budgets and ensuring that full reports on proper utilisation of Cash Assistance to Government submitted to UNICEF within six months after receipt of the funds. Any balance of funds unutilised or which could not be used according to the original plan shall be reprogrammed by mutual consent between the Government and UNICEF. 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 shall facilitate periodic visits to project sites and observation of programme activities for UNICEF officials for the purpose of monitoring the end use of programme assistance, assessing progress and collecting information for programme/project development, monitoring and evaluation.

[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 authorise the publication through various national and international media of the results of the Programme of Cooperation, and experiences derived therefrom.

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)
- [Results Matrix](#). This will be submitted in summary form, together with the revised CPD, to the Regional Office for posting on the UNICEF Extranet, prior to finalising the CPAP. Details for completing the Results Matrix are contained in Section 7 of this Chapter. The version in the CPAP can be more detailed, if required.
- Note that UNDG CPAP guidance suggests the inclusion of a “Results and Resource Framework”, which is an extract of the UNDAF Matrix with budget figures.

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 SITAN and CCA;
- relevant parts of the UNDAF and the UNDAF Results Matrix; national goal and policies; UNICEF organisational priorities as expressed in the MTSP; international agreements including the Millennium Development Goals in the specific sector or area; and sector-wide approaches to programming (SWAps) where these exist;
- Brief justification for the programme, based on the priority problems identified in the CCA or SITAN and its relationship to the policies and approaches outlined above;
- Objectives for the multi-year programme component, formulated as expected 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. 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 building (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 PRSP, 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 building.** This listing will show scheduled capacity building 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 goals and objectives. 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 building 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 building 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:
<ul style="list-style-type: none">• <u>Low workload</u>: Programme partners can often rely on external institutions to design and implement <i>studies</i>• <u>Medium workload</u>: Programme partners are usually involved in the design of <i>surveys, data analysis and reporting</i>, but the core of the work can be handled by an external team• <u>Heavy workload</u>: Programme partners normally participate intensively in <i>evaluations</i>.

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 PP milestones				
Surveys, studies (including SITAN related)				
Evaluations				
CP monitoring systems				
CO internal monitoring systems				
Partners' major data collection activities				
M&E capacity building (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 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 building** 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 7: 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 Priority Area	Key results expected in this priority area	Key Progress Indicators	Means of Verification	Major Partners, Partnership Frameworks and Cooperation Programmes	The expected key results in this Priority Area will contribute to
Girls' Education					UNDAF expected outcome: WFFC goal: MDGs:
IECD					As above
Child Protection					As above
Immunisation Plus					As above
Fighting HIV and AIDS (Regional priority)					As above

Column 1: If the Country Programme does not directly address all five of the Organizational Priorities of the UNICEF Medium Term Strategic Plan, **delete** those Priorities for which major Results are **not** expected as a result of this Programme of Cooperation. If there are any specific Regional or Country-level Priority Areas which will be addressed by the Country Programme, which fall **entirely outside** the scope of the 5 Organizational Priorities, and which have been agreed at the Regional level or as part of the MTSP, **add** one or more rows to describe the Key Results in this additional priority area. If any Priority Area is added, show it as a “Regional Priority” or “Country Priority”.

Column 2: At least one Expected Key Result should be included for each Priority 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 expected 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, municipalities (etc), as relevant. It should also indicate any major Partnership Frameworks (e.g. SWAps, PRSPs) 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 Priority Area will contribute³. 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 Priority 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 Priority Area.

c) States the *Millennium Development Goal* or Goals to which the expected Key Results in this Priority 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 Priority 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.

³ 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 8. 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 building 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?

- Situation analysis
- Mid-term review
- Mid-term management review
- Modified CPAP
- Modified CPMP

In annual implementation?

- Programme activities
- 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 building 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, UNICEF 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 building 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 building 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 building 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, establish partnership agreements). Include the identified preparedness and capacity building 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 9. 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. 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). Where a CAP doesn't exist, the Executive Director can appeal for contributions to UNICEF emergency operations.

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 which 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. Emergency Programme Fund

Allocations from the UNICEF Emergency Programme Fund (EPF) are meant to meet interim needs when no inter-agency or UNICEF appeal has been launched. All EPF allocations are subject to replenishment.

- Country offices must submit concise proposals to the Regional Director.
- Signatures of the Directors of EMOPS, PFO, PD and Deputy Executive Director, Operations are required for each allocation.
- Proposals for EPF allocations 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
 - An action plan with objectives and the specific inputs requiring funding
 - A budget with PIDB codes
- The receipt and use of EPF allocation should be reported on in the CO Annual Report.

E. UN Central Emergency Revolving Fund

The UN Central Emergency Revolving Fund (CERF) is managed by OCHA. CERF allocations need to be fully repaid through incoming contributions to the CAP. 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 gives the final clearance 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.

2. *The Appeal Process*

A. 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.

- The CAP is an opportunity to review and clarify the roles of all humanitarian actors, and assign specific responsibilities to them.
- 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.

B. Stand-alone UNICEF Emergency Appeals

Where action cannot wait the finalisation of a CAP, or where no CAP is contemplated, UNICEF may seek the consent of the UN Emergency Relief Co-ordinator to launch a stand-alone appeal. If OCHA later determines that a CAP is to be prepared, UNICEF's requirements are to be explicitly incorporated. OCHA prefers to avoid separate action.

C. Reprogramming of Available Emergency Funding

During prolonged emergencies, reprogramming of already obtained donor funding against CAPs or stand-alone appeals might be necessary.

- Reprogramming requires the approval by PFO or GRO and by the donor's Headquarter, which PFO or GRO will seek to obtain.
- The Regional Director needs to be kept informed.
- Any such reallocations should be reported on in the Country Office Annual Report.

Refer to the [PFO Website](#) for the full text of this Section, plus additional tips for successful fundraising, a description of contributions types, and contribution management.

Section 10. Coordination Requirements in Complex Emergencies

In addition to regular coordination procedures, the following mechanisms apply in emergency situations:

1. The Office of the Coordination of Humanitarian Affairs (OCHA) is responsible for the UN coordination on issues and actions related to complex emergencies. OCHA is headed by the Under Secretary of Humanitarian Affairs, who is also the Emergency Relief Coordinator. Executive instruments include the Inter-agency Steering Committee (IASC) and the Executive Committee for Humanitarian Affairs (ECHA). The IASC includes NGO and World Bank representation, as well as the heads of all humanitarian agencies including UNICEF; ECHA includes only the UN. OCHA coordinates the preparation of the Consolidated Appeals.
2. The UN Resident Coordinator System remains important in humanitarian assistance situations. OCHA may appoint a humanitarian coordinator (should the Resident Coordinator not be able to carry this function), as well as the appointment of a Special Representative of the Secretary General (SRSG) to oversee large humanitarian or peacekeeping operations.
3. UNICEF and [UNHCR](#) have signed a Memorandum of Understanding, 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. 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.
4. The World Health Organization (WHO) is a strategic partner for immunization and control of communicable diseases, or IMCI. With the World Food Programme ([WFP](#)), UNICEF has a Memorandum of Understanding that delineates responsibility in supporting children's and mother's nutritional needs. UNICEF collaborates with WFP in logistics and telecommunications arrangements. The United Nations Population Fund (UNPFA) and the Office of the High Commissioner for Human Rights (OHCHR) are also important partners. OHCHR is an important partner in protection of children's and women's rights in crisis situations.
5. *ICRC*. [CF/EXD/1999-05](#) describes strategies for collaboration in situations of war with the International Committee of the Red Cross. 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. The Red Cross and Red Crescent Societies are often partners in acute natural disasters.
6. The *Office of Emergency Programmes (EMOPS)* oversees the Operations Centre (OPSCEN) in New York. OPSCEN maintains 24-hour information surveillance of acute emergencies and supports crisis management and staff security needs, and provides support for logistics, telecommunications, and human resource mobilization. EMOPS offices in New York and Geneva also represent UNICEF vis-à-vis OCHA, IASC; and ECHA.

Section 11. 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, expected 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 annual review;
- Review expenditure status for this activity, 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 waterpoint 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 activity or project records (e.g. financial books, participant lists, inventories, stock turnover);
- 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);
- 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.

Section 12. 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 highlights 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—expected 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 distributed in October 2003.]</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 8--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</p>

	<p>partners and has asked for and secured the written endorsement of the 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 2001-013 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 allAWPs. [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

	<ul style="list-style-type: none"> Budget, Staff, Partner
<p>9. CONTROL The annual planning 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]</p>	<p>Select a few activities from the sampled AWP and establish that your 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")</p>
<p>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.</p>	<p>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.</p>
<p>12. CONTROL Actual input ordering is timed to ensure that all necessary inputs are available at the time of scheduled implementation of activities.</p>	<p>For the sampled projects: review the AWP and the previous year's annual review documentation to establish that major activities were implemented as planned.</p> <p>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.</p>
<p>13. COMMUNICATION Relevant staff are aware of the need to establish annual project results and AWP, and have been provided with guidance and training to develop SMART annual results and adequate AWP, and to create AWP in ProMS.</p>	<p>Interview a selection of project officers responsible for AWP development to establish how they have been supported to develop their AWP---specifically in developing the annual project results and how the AWP 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.</p> <p>Establish that they are aware of the results based management concepts in the 2004 PPPM and the 2003 RBM Guide.</p> <p>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 AWP during the period of the present country programme.</p>
<p>Note: If significant problems are found in any of the above controls, assess controls 14-16</p>	
<p>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.</p>	<p>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.</p>
<p>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.</p>	<p>Establish how senior management monitors the status of AWP development and the receipt of written approval for the AWP from the partners. Check if there are any monitoring reports that record the status of the AWP.</p>
<p>16. MONITORING The Representative (or designated senior staff member) maintains awareness of the entry of AWP in ProMS.</p>	<p>Establish how senior management monitors the status of AWP development and entry in ProMS.</p>

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 (PRO/2001-001) 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 6 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 <u>Evaluation Technical Note 2.</u>]</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: <u>Evaluation Technical Note 2, Rev Jan 2004.</u>]</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: <u>Evaluation Technical Note 2, Rev Jan 2004.</u>]</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 11].</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 11.</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 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 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 Annual Reviews and Mid-Term Reviews (PRO/1998-07)]</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</p>

	<p>statements made in the annual report.</p> <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.</p>
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</p>

	number of months remaining in the year.
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>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>
Note: If significant problems are found in any of the above controls, assess 4-6	
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>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>
5. COMMUNICATION The Representative has informed supervisors and staff of the requirement to develop individual training plans as a component of the PAS.	Establish that the Representative (or designated staff member) has informed all staff of the requirement to develop an individual training plan each year.
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>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	
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>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>	
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>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>	
3. CONTROL The staff involved in the development and monitoring of the UNDAF use the relevant guidance issued by UNDG and UNICEF.	<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 Integrated Guidelines (October 2003) • Quality Support and Assurance System for the CCA and UNDAF Processes and Products (January 2003) • 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 Checklist" 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 13: 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'⁴. 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 participation⁵ and the contribution that children and young people can make to development - including the preparation of instruments such as NPAs or Poverty Reduction Strategies (PRSPs):

- 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*

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...

⁴ 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.

⁵ 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.

*shall take all appropriate measures to eliminate discrimination against women in the political 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 country*⁶.

- 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...*⁷
- 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)
- Sustained achievement of development gains is likely to be dramatically increased, if these gains are attained through participatory approaches⁸. Consultation and sensitivity to local realities (especially of poor people) build trust in public policy and government interventions⁹, 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;

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*)

⁶ 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.

⁷ Participation, including child participation has been embedded in many other international agreements

⁸ 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.

⁹ 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 girls may know best why they or their peers drop out from school;
- 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 areas¹⁰.
- 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 principles¹¹ 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 plans¹². 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.

¹⁰ See, for instance, the UNICEF Operational Guidance Note on the Mid Term Strategic Plan ([Exdir 2002-29](#))

¹¹ See Chapter 2, section 1 of the PPP manual

¹² It is, for instance, unlikely that poor families will have access to web-based communication platforms and consultations

*Ethical considerations*¹³:

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 made¹⁴. 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

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.

¹³ 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.

¹⁴ 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.

may be needed, or referrals that can be made. Children must be made aware of the arrangements made for and limits to confidentiality.

- *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 rights¹⁵. Non-acceptance of responsibility or failed leadership are also elements of missing capacities.

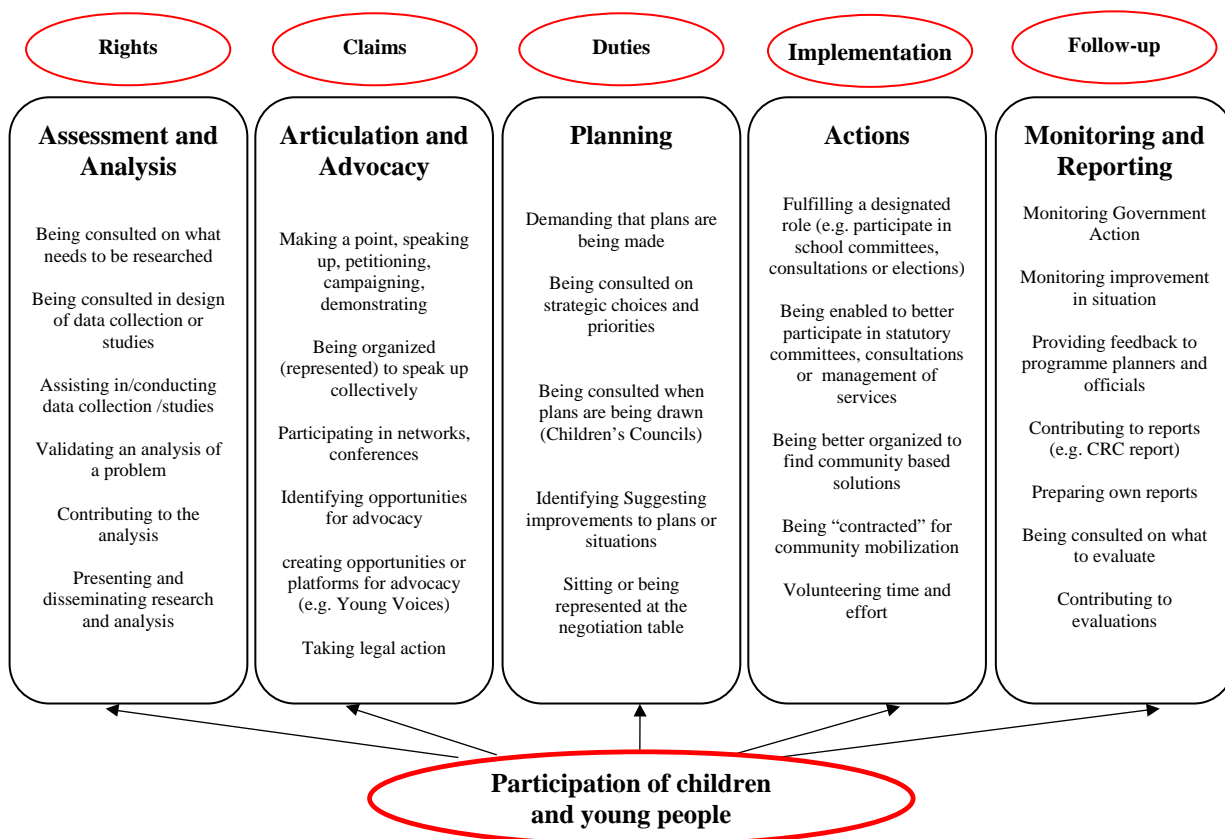
As shown in the diagram, the Human Rights perspective helps to map different but related ‘participation roles’ of children and young people. Five broad areas of participation follow:

- *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

¹⁵ ref. PPP Manual, Chapter 2, Section 1

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.



4. Promoting Meaningful Participation in Local and National Development

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:

- 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).
- 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.
- 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.

4.1 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 PRSPs or sector reform programmes, and when preparing SITANs or CCAs¹⁶.
- Advocate with national research institutions and government agencies to adopt participatory research methods¹⁷, 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 questions¹⁸. This may require additional expenses for training them as enumerators¹⁹. 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 data²⁰.

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*)

“Information is the currency that enables citizens to participate in the life and governance of a democratic society” (*Right to Information Movement Raiasthan*)

4.2 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

¹⁶ See: <http://www.unicef.org/polls/>

¹⁷ See, for instance, UNICEF's [website for teachers](#), which includes ideas on how to involve children as researchers

¹⁸ 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.

¹⁹ This may be more feasible, at least initially, for localised, municipal or small-size surveys

²⁰ 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.

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 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 presentation²¹.
- 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 conferences²².

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).

²¹ Many modern school curricula include training in presentation and public speaking

²² 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

- 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).

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 dialogue²³ 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 councils²⁴).
- 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.

4.3 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, PRSPs or sector plans, and/or pursued through preparation of an NPA for Children²⁵. Children and young people should be consulted –including

²³ The *Young People's Media Network* (YPMN) connects youth media organisations (www.unicef.org/magic). Also see [Voices of Youth](#)

²⁴ UNICEF: Children and Youth Parliaments (unpublished, Adolescent Development and Participation Unit)

²⁵ See [ExDir/2002-19](#)

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:

- 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 exercises²⁶; setting up reference groups or Children's Councils²⁷; 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 limited²⁸.
- 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.

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

²⁶ 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

²⁷ 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

²⁸ 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.

- 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 PRSPs and SWApS.

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.

4.4 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 organisations²⁹ (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.

²⁹ 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.

- 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 and service providers or decision makers. The Child Friendly Cities³⁰ movement abounds with examples where municipalities try to ensure that children and young people feel welcome and safe in their neighbourhoods and public spaces³¹. 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.

4.5 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

³⁰ Visit www.childfriendlycities.org, and the “Growing Up In Cities” Initiative, www.unesco.org/most/growing.htm

³¹ See for example: Environment and Urbanization: Building better cities with children and youth, Volume 14 No.2, Oct 2002

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.

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.

- | |
|--|
| <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. |
|--|

- 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 governance³². 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 children³³.
- Children's Parliaments³⁴ 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.

³² See <http://www.schoolcouncils.org>, on information on how to set up school councils and run them effectively

³³ Emerging movements are usually more difficult to spot and require considerable support to get them off the ground.

³⁴ The CEE/CIS RO (or provide here) has an inventory of youth parliaments or other national youth fora, also see [SOWCR 2003](#)

- 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.

6. *Participation in UNICEF Assisted Programmes: Additional Issues*

This section reviews additional issues related to participation within the context of planning and implementing a UNICEF assisted programme³⁵.

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 development³⁶:

- 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?

³⁵ 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.

³⁶ 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](#)

- 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?

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, artists³⁷, educational experts, or NGOs³⁸ 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 workplans (e.g. the workplan 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.

³⁷ Celebrities can add momentum when facilitating children's participation in local or national consultations and events.

³⁸ Many NGOs, especially the [SCF Alliance](#), are breaking ground in promoting child participation and the [GMC](#)

- 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.
- 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 participation³⁹.

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)

³⁹ The Adolescent Development and Participation Unit is presently working to test indicators and tools to measure participation.

- *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)
- *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 advise 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 14: 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 building.

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 15: 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 Programming⁴⁰.

Gender mainstreaming is a process for *achieving greater gender equality*⁴¹. 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*”.

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 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:

⁴⁰ Executive Directive 1998-04. A Human Rights Approach to UNICEF: programming for children and women

⁴¹ UNICEF Executive Board 1994 E/ICEF/1994/L.5, para.13 and Executive Board Decision A/4 1994

- 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 building 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 assist⁴². 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

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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.

⁴² 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, 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 girls 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?	
Expected 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 PRSP as they relate to gender equality and women's and girls' rights?
Does the NDP or the PRSP 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 workplanning, 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 PRSPs				
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 16: 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 SWAs and PRSPs.

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 has 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 Expected 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 PRSPs (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 expected 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 PRSPs.

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.