

EVALUATION REPORT

July 2014

UNICEF's Upstream Work in Basic Education and Gender Equality 2003-2012

VOLUME II ■ ■ **Synthesis Report Annexes** ■

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EVALUATION REPORT

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VOLUME II ■ ■ **Annexes** ■

UNICEF'S UPSTREAM WORK IN BASIC EDUCATION AND GENDER EQUALITY (2003-2012)

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ANNEXES



ANNEX 1

TERMS OF REFERENCE

Title	Terms of reference for the evaluation of UNICEF's upstream engagement
Purpose	To conduct an evaluation of UNICEF's upstream work in basic education and gender equality (BEGE) for the period 2003 -2012
Reference	RFPS-USA-2013-501619
Evaluation Timeline	May 2013 through November 2013
Reporting to	Evaluation Specialist, Evaluation Office

Background

UNICEF Evaluation Office (New York) plans to commission a global evaluation of upstream work in basic education and gender equality programmes. 'Upstream' refers to policy development and advocacy efforts that precede the actual implementation of policies, programmes and projects - work that has typically gone under the rubric of sector-wide policy analysis. Upstream work is also often characterized by a shift from a project approach to programme approaches, an agreed set of implementation modalities (typically resource mobilization, management and oversight/governance arrangements), and a presence of robust partnership arrangements.

The focus on upstream work in education development is a relatively recent one for donors and governments alike, borne out of an increasing awareness that infusions of new resources are, at best, only a partial solution to current problems, and an increasing realization of the centrality of enabling policy environments in ensuring that donor-supported interventions lead to sustainable development. As a result, there has been a shift to having 'downstream' field implementation of programmes and projects being preceded by necessary work in policy development and advocacy.

At the global levels, upstream education work entails engaging with partner organizations to set, for the education sector, a policy agenda that reflects holistic sectoral reflection and responses to critical issues such as poverty alleviation, climate change, linguistic pluralism, cultural identity, transitions between the education system and employment, educational innovation and use of appropriate new education technologies, to mention a few. Working upstream includes advocating for, and leveraging resources to ensure that countries make progress towards achieving Education For All (EFA) goals and education related Millennium Development Goals (MDGs 2 and 3). It also includes achieving greater inter-sectoral coherence and employing multidisciplinary approaches that reflect a more holistic view of how the sector operates.

While the policy agenda may vary according to local context, upstream education advocacy typically entails developing medium or long term sector policies, strategies and programmes and/or facilitating national co-ordination of policy dialogue with the Government's external partners. It also entails mobilizing funding sources within a sector-wide national programme framework, proper allocation and management of budgets, as well as strengthening national capacities to prepare national policies and programmes. While policy and



planning documents often receive higher visibility, other critical inputs to the renewal and development of education systems come in the form of participatory processes for facilitating policy dialogue and national consensus building, exposure to the most recent information, thinking and technologies, as well as exposure to experiences of the international community.¹

In UNICEF a strategic focus on upstream work came with the adoption of the medium-term strategic plan (MTSP 2006-2009), where in addition to the four programmatic focus areas a new cross cutting theme of ‘policy advocacy and partnerships for children’s rights’ was introduced (as Focus Area 5). This work stream was intended to move the organization’s focus towards upstream policy engagement by promoting research and policy analysis on children and women’s issues, by supporting efforts to collect data and information on the rights and well-being of children and women, and by engaging in evidence-based policy dialogue with decision makers. These efforts were also aimed at supporting countries to strengthen capacities to meet their obligations under the Convention on the Rights of the Child (CRC) and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), and to enhance participation of children in issues that affect them thus ensuring that they enjoy their right to be heard.²

UNICEF’s upstream work in the education sector³

Prior to the formalization of the policy and advocacy work stream in the MTSP, UNICEF had coordinated with other agencies mainly through sector-wide approaches (SWAp),

Developed in the late 1990s, SWAp were one of several means for development agencies to achieve greater coherence in approaches to provide development assistance. As characterized to the Executive Board in 2001⁴, UNICEF’s efforts were initially directed towards “SWAp design and formation, partnerships cross-sectoral work and supply procurement”. Executive Board members provided the following insights to strengthen what they perceived to be a good but incomplete conceptualization of SWAp by UNICEF:

- that SWAp should not be a method for dispersing resources but a coordination framework;
- that SWAp must be developed within the framework of national policies for poverty reduction and should be linked to CCA/UNDAF processes;
- that UNICEF should use the SWAp mechanism to engage more in the promotion of child rights, monitoring, technical assistance, basket funding, support to decentralized levels, as well as policy and strategy development; and,
- that child survival, maternal health, and education be clearly prioritized in sector plans.⁵

SWAp have since been reconceptualized to include providing technical advice on child-related issues; advocating for full coverage of services for children; and, strengthening the capacity of Governments to exercise effective leadership over development policies, programmes and budgets oriented towards achievement of MDGs⁶. While they were initially

¹ An approach to preparing national education reform and programmes under international cooperation: some reflections on the future of upstream work.

² The Committee on the Rights of the Child recently adopted General Comment No. 12, on the CRC and the right of the child to be heard.

³ See Appendix A for a more detailed discussion of Focus Area 5 UNICEF work in the education sector

⁴ Report on UNICEF engagement in sector-wide approaches (E/ICEF/2001/10)

⁵ Executive Board of the United Nations Children’s Fund: report of the first and second session and annual sessions of 2001.

⁶ Report on UNICEF engagement in sector-wide approaches (E/ICEF/2006/14)



a viewed as a funding modality, SWAPs have since evolved into a sector planning process, and development cooperation that supports a single Government-led sector policy and/or plan that is accompanied by a prioritized programme expenditures, working progressively towards strengthening Government procedures for disbursement and accounting of all public expenditure.

Of the UNICEF programmes areas, basic education and gender equality (BEGE) has the largest number of engagement with SWAPs in their country programmes; 33 basic education SWAPs as compared to 23 for health programmes, and eight (8) for water and sanitation programmes.⁷ BEGE programmes engage in SWAPs by providing technical and policy advice on results-based planning, field-based implementation at national, sub-national and community levels, and capacity development in support of Education For All (EFA) objectives. Education SWAPs also support data collection and data use, monitoring of critical education outcomes, as well as programme evaluation efforts. In some countries UNICEF has assumed the role of convening education SWAPs.

While a significant number of programme countries in Africa, and Asia and operate under SWAPs, most countries in the Americas and Caribbean (TACR), Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS) and Middle East and North Africa (MENA) work under non-SWAP contexts. These are mainly middle income countries with a small percentage of overseas development assistance (ODA), most of which work under Poverty Reduction Strategies (PRSs). UNICEF engages in PRSs too, and provides data that informs the development of the strategy, advocates for

integration of children's rights, and engages as an important member of PRSs committees and commissions. Table 1 provides examples of upstream work in the four key result areas (KRAs) of basic education and gender equality (BEGE), mapped against selected themes of the policy and advocacy work stream.

The majority of the contributions reflected in the cells of the table are made directly through implementation of BEGE programmes within different partnership arrangements, both globally and through country programmes. Other contributions are made through BEGE's inputs in other UNICEF program areas (child protection, HIV/AIDS and ECD under PD), and in social protection, which entails, among others, conducting research with education-based themes to enable the organization to engage in evidence-based policy dialogue with governments and other partners, as well as conducting pilots of proposed programme solutions to determine their efficacy before committing resources in scaling-up efforts.

Global partnerships for upstream work in education

UNICEF is committed to the principle of external support within a single, credible national plan for education, and as an in-country partner, helps countries with consultative participatory processes for developing plans for education and linking them to poverty reduction strategies and/or a national development plans. Success at the national level requires advocacy and partnerships at the global level, and the four most strategic for education upstream work are Education for All (EFA), Global Partnership for Education (GPE), the Global Education Cluster⁸,

⁷ These are 2006 counts, will update.

⁸ Designed under the leadership of the Inter-Agency Standing Committee (IASC), the cluster approach includes nine sectoral coordination clusters. Six clusters address sector specific issues - education, nutrition, health, water and sanitation, food security, emergency shelter. The other three - camp coordination/management, protection, and early recovery clusters - address cross-cutting issues. (*Inter-Agency Standing Committee (IASC) Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*, IASC, 2006)



TABLE 1

Education policy advocacy initiatives by UNICEF-wide policy advocacy themes

Focus area 5 themes (KRA 3)	KRA1: School readiness	KRA2: Access to education	BEGE: KRA3	BEGE: KRA4
	Working with partners, contributes to...	Working with partners, contributes to...	Working with partners, contributes to...	Working with partners, contributes to...
Policy dialogue, norms and standards for reducing child poverty and inequalities and disparities that underlie poverty.	policy-making to alleviate disparities that prevent children from starting school at the prescribed age	policy-making to alleviate disparities in access to education	policy-making to alleviate disparities that prevent children from not completing school	policies to improve prediction and prevention, and preparedness for countries that are prone to natural disasters or conflicts (e.g., CCCs, INEE standards, SOPs, gender marker)
Macro-economic frameworks, participatory budget processes and resource allocations for financing policies.	public budgeting processes to increase opportunities for preschools and their quality for poor children	raising additional and alternative resources to enable abolition of school fees and to increase access to school for girls	public budgeting processes to increase the number and quality of schools, and to improve achievement for poor children	improvements in sector budgeting processes (e.g., introduction of gender marker...
Scaling up of policies for social protection and support of poor families.	policies for scaling up access to pre-school for poor children through social services and cash transfers at household level	policies for scaling up access to school for poor children through social services and cash transfers at household level		tbc
Legislative reform and policy measures for accelerated implementation of CRC and CEDAW.	establishment and enforcement of prescribed age for school entry	establishment and enforcement of number of years of free and compulsory education	establishment and enforcement of: ages for school leaving: minimum age for full-time employment: and, elimination of corporal punishment	tbc

Adapted from the UNICEF Executive Board Special Session on Policy and Advocacy for Children's Rights: Background Note, September, 2008



and United Nations Girl's Education Initiative (UNGEI)⁹ of the Inter Agency Standing Committee (IASC). These partnerships are linked by common membership of three key agencies (UNESCO, UNICEF and the World Bank), the donor community, and by a synergistic way in which partners address planning, financing, gender disparities and emergencies in education.

UNICEF's participates in the GPE by having a seat on the governing board, and on the Financial Advisory Committee, a structure that makes decisions relating to fund allocation, education sector plans, and partnership modalities. Other roles include being Coordinating Agency in 21 out of 46 GPE endorsed countries, Managing Entity in Guinea and Madagascar, and for the first time assuming the role Supervising Entity in Afghanistan where the organization has worked with a wide range of stakeholders to develop the funding proposal and to have the education sector plan endorsed. This level of engagement in the GPE ranks highest among organizations/agencies, bilateral or multilateral.

For education in emergencies and post conflict contexts, UNICEF is a co-lead agency (with Save the Children) in the Global Education Cluster. While the main focus of the cluster is usually to mount a response to a humanitarian crisis, there are opportunities to advocate for, or even adopt policies and set standards to protect the rights of children and women in humanitarian situations, as well as leverage resources for 'building back better'. For instance, in one of the activities of the global education cluster, UNICEF collaborates with partners to develop Standard Operating Procedures (SOPs) for interaction with country level clusters to facilitate a predictable response in any emergency¹⁰.

In other strands of education upstream work UNICEF is a lead agency in UNGEI and houses its secretariat. The organization also leads sector working groups in several programme

countries to promote adoption of Child Friendly Schools/Child Friendly Education (CFS/CFE) national quality standards. In addition to the four key partnerships, UNICEF engages selectively in other partnerships for efficient collaboration on specific issues/themes (e.g., the School Fees Abolition Initiative (SFAI), Focusing Resources in Education and School Health (FRESH), and the Inter-Agency Task Team for Education and HIV/AIDS). It also engages bodies such as the Association for the Development of Education in Africa (ADEA) to respond to regional issues. These are important partnerships through which UNICEF pools technical expertise with others, formulates common advocacy positions, develops policy guidance, and influences major decisions to advance education outcomes.

Rationale for the evaluation:

It has been several years since UNICEF declared its strategic intent to shift "towards a greater relative emphasis on upstream support to national policy, capacity and partnerships for scaled-up programme delivery"; to "put children at the center of national policy dialogue, and to promote meaningful participation by children in decision-making processes" (MTSP 2006-2009). Country Programmes (CPs) have taken on the challenge of aligning these strategies with national objectives, at least since 2006, and as such an investigation of the usefulness of this approach is warranted. This evaluation aims to assess the extent to which UNICEF has indeed lived up to these MTSP promises, and to identify good practices and lessons learned in relation to its upstream work in education.

While this is an evaluation with a clear programmatic focus, UNICEF engagement in upstream work and policy advocacy is a topic of strategic importance for UNICEF as a whole. For instance, the evaluation will provide empirical evidence on how UNICEF's goals associated with upstream work are articulated,

⁹ UNICEF Education Strategy (E/ICEF/2007/10)

¹⁰ Education Cluster Strategic Plan 2011-2013



communicated with partners, and implemented through SWAs and other mechanisms and partnerships, and attempt to validate claims about the presence of a systematized organizational learning approach on some of the themes in upstream work – a need that was articulated in two Executive Board decisions^{11, 12}.

Engagement in policy dialogues whether in SWAs or in non-SWAp contexts, requires, *inter alia*, that UNICEF interacts with national governments, parliamentary partners, civil society partners, UN sister agencies, and increasingly with private sector partners. It also requires that UNICEF evaluate existing partnership arrangements and strengthen its leverage on partnerships that enable the organization to engage at a more strategic level. A focus on a few case study countries will provide empirical evidence on how UNICEF works with partners, and in countries of different typologies. The findings of the evaluation should be able to inform the organization’s strategy on how to engage with middle income countries, least developed countries, both priority and non-priority, as well as national committees.

Evaluation purpose, objectives, and evaluation questions

The purpose of the evaluation will be to examine UNICEF’s contribution in “upstream” work in education, to assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation will also determine the extent to which upstream engagement efforts translate to desired transformations in education sector policy and practice, and national systemic strengthening in programme countries. The evaluation will review new strategies to inform sector policy dialogue in the new MTSP (2014-17) against lessons learnt from upstream engagement in the current MTSP period (2006-2012). Evaluation themes, and objectives, are presented in Table 2¹³, while corresponding evaluation questions (tentative) are offered in Appendix A.

UNICEF is conscious of the need for the evaluation to pose two types of questions, **descriptive** and **normative**. The first set will provide descriptions of information and verifiable facts

TABLE 2 Evaluation themes and objectives

Evaluation Themes	Key Components	Evaluation Objectives
1 Shared Definition	Definitions, expected outcomes and pathways.	To articulate UNICEF’s education upstream approach, examine the extent to which there is a shared understanding of this approach in education programming, and whether outcomes and pathways to achieving results in policy advocacy work are articulated clearly.
2 UNICEF Positioning	Global best practices and UNICEF’s strategic engagement relative to its comparative advantage.	To identify and review approaches, principles, best practices and benchmarks in education policy development at the global level, and other aspects of upstream engagement for comparison with UNICEF strategies and practices, relative to UNICEF’s comparative advantage.

¹¹ Decision 2001/11, UNICEF’s experience with sector-wide approaches and sector development programmes

¹² Decision 2006/8, Report on UNICEF engagement in sector-wide approaches

¹³ As part of evaluation planning activities, the Evaluation Office commissioned a scoping exercise to determine and prioritize key questions, and come up with a manageable set of issues that the evaluation should to investigate. Evaluation themes presented on this in the Table2 were informed partly by the work of the scoping team.



Table 2 (cont'd)

Evaluation Themes	Key Components	Evaluation Objectives
3 Building back better	Strengthening of education system response after humanitarian crises.	To examine UNICEF's performance in capitalizing on opportunities created by humanitarian crises to advance education policy development and advocacy, leverage resources for 'building back better' in order to strengthen education system response.
4 External Partnerships	Outcomes of partnership strategy; the credibility of UNICEF as a partner.	To examine whether UNICEF's engagement in different types of partnerships ¹⁴ is strategic and credible, and whether UNICEF's partnership strategy contributes significantly to advancing education policy advocacy and education outcomes in countries of different typologies, including countries undertaking humanitarian programming.
5 UNICEF-wide collaboration	Internal collaboration and coordination with other PD sections, DPS, and EMOPs.	To determine the extent to which BEGE collaborates and coordinates internally with respective divisions, sections and offices in UNICEF to advance UNICEF's upstream agenda in education.
6 Capacity	Building capacities for upstream work, for UNICEF and partners.	To identify core skills, tools, systems and institutional arrangements required for UNICEF's upstream education work, assess their adequacy, and evaluate efforts at building capacities of UNICEF education staff and key partners in government for future upstream engagement.

about upstream engagement in education (e.g., what constitutes upstream work; conceptual models for upstream work; tools/strategies that are used and how they are deployed in different contexts; organizational capacities, etc.). Normative questions will require making judgments, based on application of explicit and defensible criteria for weighing evidence in answering questions (e.g., credibility of UNICEF as a partner; relevance and adequacy of 'good practices'; success of initiatives/pilots/ strategies, etc.). UNICEF is looking for good practice benchmarking that will form the basis of quality design and assessment efforts in future engagement in upstream work, hence **bidders must articulate the standard and criteria used to make judgments**. Bidders are also required to prepare an annex proposing the final set of

evaluation questions, an organizing framework for the questions (e.g., the OECD/DAC criteria for evaluating development programs¹⁵), and the level at which the questions will be investigated (global, regional and/or country level).

Scope and use of the evaluation

As previously stated, the purpose of the evaluation is two-fold. The summative element will assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. It will also determine if those efforts translate to desired results and transformations in education sector policy and practice as well as national systemic strengthening for programme countries; and examine the

¹⁴ The major partnership on policy development and advocacy within programme countries is with the GPE. Other partnerships include global and regional organizations, national governments, donor nations, public institutions, private institutions/organizations.

¹⁵ OECD-DAC, 2002



contribution of UNICEF's upstream engagement in achieving results for women and children. An equally important thrust of the evaluation will be to seize this moment when UNICEF is in the process of crafting a new strategic plan for its mission and mandate to offer a formative review/analysis of UNICEF's effort at articulating an agenda for upstream engagement for the next few years (MTSP 2014-2017). This aspect of the evaluation may be tenable only at the global and regional levels.

The evaluation will provide a detailed account of BEGE upstream work at the global and regional level and make a determination of whether upstream engagement supports implementation efforts at the country level. Hence, case studies will present an opportunity to examine how stated results (KRAs, PCR and IRs) have enabled UNICEF to make a strategic shift towards upstream policy engagement, and how effective the strategies for upstream engagement have been, including evidence of how particular pilots have been used as a basis for policy advocacy and/or engagement. More importantly, it may be possible in this evaluation to use case studies to assess UNICEF's contribution to education upstream engagement in terms of overall **impact** of the investments (financial, human and other resources) on the desired outcomes (access and completion of basic education, children's school readiness and on-time enrollment, children's attainment of learning outcomes, and education systems strengthening), hence solid proposals for addressing impact issues will be regarded highly in assessing evaluation proposals.

This evaluation is meant to achieve global coverage and generalizability, hence all seven UNICEF regional offices will be invited to contribute data in the document analysis phase. Selection of country programmes (and case study countries) will also attempt to achieve coverage of all key result areas of the BEGE programme. In order to enable a comparative analysis of the effect of UNICEF's strategic shift towards upstream engagement, the investigation will span education programmes in the

period 2003 through 2012, three years before articulating a strategic focus on policy advocacy and six years after the onset of its implementation. A modified delphi-survey will be executed to establish consensus and generalizability of preliminary findings, as well as to obtain additional data that will ensure that the global perspective are represented in the evaluation.

The Education Section (at UNICEF, New York) is the primary proponent of the evaluation, hence the expectation is that the evaluation will provide an opportunity for organizational learning, first for BEGE staff in New York, Regional Education Advisers, Education Chiefs, and Education Specialists at all levels. Other intended users include the following:

- Programme Specialists in the Programme Division
- Policy Advisers in DPS and in the Division of Policy and Strategy
- Social Policy Advisers throughout UNICEF
- Focal points for SWAPs in all programmatic areas,
- Government partners
- Other partners in education development.

To the extent possible, the evaluation lessons will influence refinement of upstream engagement agenda and strategies for the new MTSP.

Evaluation approach and methodology

Based on the objectives of the evaluation, this section indicates a possible approach, methods, and processes for the evaluation. Bidders are invited to examine the approach and methodology carefully and improve on it, or propose an approach they deem more appropriate. Methodological rigor will be considered and rewarded significantly in assessing proposals.

Evaluation approach/design: The following elements are proposed for design: (i) a desk-based review of literature on the global agenda



in education upstream engagement, and topical issues (ii) an analysis of documents from UNICEF offices and government to determine upstream goals, strategies, activities, and reported results, as well as secondary data analysis; (iii) field-based data collection using the case study approach, and employing a combination of qualitative and quantitative methods obtain primary data from multiple sources; (iv) data analysis and formulation of preliminary findings; and, (v) propose an approach to validate preliminary findings (using a delphi survey or any other appropriate technique), establish consensus and generalizability of findings, as well as to obtain additional insights/nuances that will ensure that the global perspective are represented in the evaluation.

Evaluation methods, to be further refined during the inception phase, will include sampling of participating countries; instrument development and validation; a two-stage data collection strategy involving a document review exercise and secondary data analysis and field visits to a sample of countries; and, data analysis (coding and verification).

- *Sampling strategy:* We suggest a 3-stage sampling strategy for the evaluation. First, the Education Section at UNICEF, HQ, seven (7) regional education offices, and an appropriate number of countries will be selected for the desk-based study; second, for field-based case studies, a smaller number of countries (4-6) will be selected from the initial set; third, all countries with upstream education programming will be invited to participate in the delphi survey. Country case study selection will be based

on geographical coverage of UNICEF regions, coverage of all BEGE key result areas (KRAs) and other factors relevant to the different types and levels of engagement in upstream work¹⁶. Additional factors in selecting case study countries include levels of UNICEF programme investments, and specified partnership arrangements

- *Instrument development and validation:* The evaluation will pay particular attention to the development of instruments and their validation in order to reduce conceptual and measurement error. A draft data collection toolkit will be approved as part of the inception phase. One week of piloting of draft instruments is suggested for the first country visit.
- *Data collection:* A desk-based **global literature review and analysis of programme documents**, (national development plans, education sector plans, past evaluations findings on this theme¹⁷, both UNICEF and non-UNICEF) will be conducted. The evaluation is also expected, to the extent possible, to harvest secondary data and apply some level of analysis for the global regional and country levels as described in the sampling strategy. This review is intended to facilitate a deeper understanding of issues in upstream work in the education sector globally, and how UNICEF works. It will attempt to answer questions on whether there is a shared definition of upstream engagement, and determine UNICEF's strategic engagement and positioning relative to its comparative advantage. The desk review will result

¹⁶ Country typologies may include (i) low income and high burden in education countries - typically large country offices in terms of budget and staff and a high volume of out-of-school children; (ii) countries with programming on education in emergencies; (iii) lower middle income countries with both upstream and downstream programming; and, (iv) upper middle income countries, mostly featuring upstream programming. For the UMIC, a non-SWAp country will be selected to enable a comparison of countries where UNICEF works in collaboration with external international partnerships, and where UNICEF works in collaboration with government and national partnerships.

¹⁷ Several evaluations of UNICEF engagement with partnerships include UNICEF's Strategic Engagement in the Education Sector (2011) and the role of UNICEF in Education Sector Wide Approaches (2005) both in ESARO, a case study on social inclusion and education SWAPs (Bangladesh, 2007), the just completed Global evaluation of UNGEI (2012), and a lessons learnt exercise in Global Programmes Partnerships (2010). An extensive search of additional evaluations will be conducted as part of the evaluation.



in a document review and analysis to be presented as part of the inception report.

- **Field-based data collection**, to be carried out in 4-6 countries selected on the basis of the document analysis, will be a source of quantitative verifiable data on the impacts of upstream work (policy pronouncements, new budgeting processes, etc.) on achievement of results. During this stage the evaluation will examine, through case studies, how stated results (KRAs, PCR and IRs) have enabled UNICEF to make a strategic shift towards upstream policy engagement, and how effective the strategies for upstream engagement have been, including evidence of how certain programme elements, strategies, (e.g., child friendly schools, life skills education, school readiness initiatives, school fees abolition, etc.) and pilots (e.g., child-to-child approach to school readiness) have been used as a basis for policy advocacy and/or engagement.
- The evaluation team will interview UNICEF country office staff, national government partners and others who participate in education sector groups, private sector partners, and beneficiaries. For some evaluation themes, country data from the desk-based document review phase will be further enriched by country level perspectives. Otherwise, primary data will be collected at the country level for a majority of evaluation themes.
- *Data Analysis*: The unit of analysis or 'objects of study' will be the discreet activities that qualify as 'upstream engagement' within education country programmes. Hence the evaluation methodology will articulate, from the analysis of programme documents, a core set of indicators and outputs, and indicate how data will be organized, classified, compared and displayed, relative to evaluation questions. The data analysis approach should also examine the feasibility of comparing understandings and perceptions of different categories of

stakeholders on the relevance, demand, and utility of upstream policy work in education, and how UNICEF's contribution will be measured.

Attribution or contribution: While it is desirable for UNICEF to examine its own goals to determine if intended results were achieved through its support to policy making, education sector planning, systems strengthening, and building of strong partnerships, it is often difficult to attribute results to only any one source of inputs, actions, or actors, or to claim credit for positive outcomes associated with such efforts. Hence a 'contribution approach' will be taken, with the evaluation methodology articulating, *a priori*, how a contribution analysis will be carried out.

Ethical considerations: Conventional ethical guidelines are to be followed during the evaluation. Specific reference is made to the UNEG guidelines. Good practices not covered therein are also to be followed. Any sensitive issues or concerns should be raised with the evaluation management team as soon as they are identified. Two particular issues should be noted:

- The evaluation methodology may indicate children as informants or objects of study. In all contacts with children, the UNEG ethical guidelines regarding issues like confidentiality and not exposing the child to danger must be carefully respected.
- In addition to exercising ethical considerations for informed consent, no participant other than UNICEF staff may be compelled to cooperate with the evaluation. UNICEF will direct staff to participate where needed.

Evaluation products/deliverables

Several products will be expected from the evaluation activities. An inception report that includes a document review analysis; an evaluation brief of initial evaluation results including a PowerPoint presentation to facilitate a stakeholder consultation exercise; case study reports; final report of the evaluation report with



up to two revisions; and, a PowerPoint presentation used to share findings with the reference group, and for use in subsequent dissemination events. Outlines and descriptions of each evaluation products proffered in this section are meant to be indicative. Bidders are invited to reflect on each outline and effect the necessary modification to enhance their coverage and clarity¹⁸.

Inception report: This report will comprise a complete synthesis of relevant literature; an analysis of 'upstream' activities and results at the global level (Education Section in New York), all regional offices, and 14 country level education programmes; and, additional insights into executing the evaluation, including a well-reasoned out selection and/or recommendation of case studies countries. It will also be instrumental in confirming a common understanding of what is evaluated. The evaluators will craft and/or refine preliminary evaluation questions, confirm the evaluation scope, propose a rigorous methodology of the evaluation, as well as develop and validate evaluation instruments. The report will include, *inter alia*,

- Evaluation purpose and scope – confirmation of objectives and the main themes of the evaluation;
- Evaluation criteria and questions – final set of evaluation questions, and criteria for assessing performance;
- Evaluation methodology – a sampling plan; a description of data collection methods and data sources (including a rationale for their selection); draft data collection instruments (a data collection toolkit as an annex); a mapping that identifies evaluation questions, how they will be answered through the selected methods, and a data

analysis plan; a discussion on how to enhance the reliability and validity of evaluation conclusions (using the delphi survey or a more appropriate approach); a quality review process¹⁹; and, a discussion on the limitations of the methodology;

- Proposed outline for case study reports;
- Proposed structure for the final report;
- Evaluation work plan and timeline – a revised work and travel plan, and,
- Resources requirements – detailed budget allocations, tied to evaluation activities, work plan, deliverables.
- Annexes (organizing framework for evaluation questions, data collection toolkit, data analysis framework)

The inception report will be 35 - 40 pages (excluding annexes), and will be presented at a formal meeting of the global reference group.

Evaluation brief: Essentially a report of data collection activities and the results chapter of the evaluation, this brief will include a description of data collection activities of the analysis undertaken (as an appendix), and a global synthesis of results from upstream activities in education programmes in case study countries, presented according to a criteria and format in the inception report. The report will be received and cleared by the evaluation manager in the Evaluation Office, and be received by the members of the global reference group for information only.

Case study reports: The case study leader in each country is responsible for developing a complete draft of the case study report. The report will not exceed 50 pages, **including** the

¹⁸ While bidders are welcome to modify the structure of each deliverable to enhance their coverage and clarity, products are expected to conform to the stipulated number of pages, where that applies.

¹⁹ UNICEF has instituted the Global Evaluation Report Oversight System (GEROS), a system where final evaluation reports are quality-assessed by an external independent company against UNICEF/UNEG standards for evaluation reports. The evaluation team is expected to reflect on and conform to these standards as they write their report. The team may choose to share a self-assessment based on the GEROS with the evaluation manager.



executive summary and annexes. A complete draft report will include:

- a description of country context and education sector transformation agenda;
- an analysis of critical issues in policy advocacy work in the education sector in the country, and objectives of the UNICEF country programme and desired results as they relate to the policy agenda of the country;
- an assessment of UNICEF's mandate, strengths and weaknesses relating to UNICEF's strategic choices for engagement in upstream work against a set of agreed evaluation criteria;
- statements of findings, well substantiated by the data and evidence;
- recommendations (not more than one per evaluation theme) on improvements that the country programme needs to make on upstream engagement in education, and how it should relate with the education systems, governments and other actors;
- list of background materials used; and
- annexes (evaluation terms of reference; annotated description of methodology; and, list of people interviewed).

Final evaluation report: The report will not exceed 90 pages, including the executive summary and annexes. A complete draft report will include:

- an analysis of critical issues in policy advocacy work in the education sector at the global and regional levels
- an assessment of UNICEF's mandate, strengths and weaknesses relating to UNICEF's strategic choices for engagement in upstream work against a set of agreed evaluation criteria;
- statements of findings, well substantiated by the data and evidence; and,

- recommendations (not more than two per evaluation theme) on improvements that UNICEF needs to make on upstream engagement in education, and how it should relate with the education systems, governments and other actors.
- list of background materials used; and
- annexes (evaluation terms of reference; annotated description of methodology; data analysis framework, list of people interviewed).

PowerPoint presentation: Initially prepared and used by the evaluation team in their presentation to the reference group, a standalone PowerPoint will be submitted to the Evaluation Office as part of the evaluation deliverables.

Reports will be prepared in English, according to the UNICEF House Style and UNICEF standards for evaluation reports. The first draft of the final report will be received by the evaluation manager who will work with the team leader on necessary revisions. The second draft will be sent to the reference group for comments. The evaluation manager will consolidate all comments on a response matrix, and request the evaluation team to indicate actions taken against each comment.

Evaluation team composition skills and competencies

The Evaluation Office will contract with an institution (consulting firm, research institute, university, or a vendor with similar capacities), which will offer a team of qualified senior level professionals. Based on their understanding of the task at hand, the team may choose to enlist additional expertise as they see fit, including back-office administrative support, and subcontracting with national evaluation partners with superior knowledge of their respective country contexts to assist in the execution of country case studies and in-country support during the country visits.



Desired skills and competencies for evaluation team: The evaluation team must offer the following demonstrated experience, knowledge and competencies:

- Exceptional technical knowledge, skills and expertise in evaluation concepts and approaches and capacity execute a multi-country evaluation effort;
- In-depth knowledge and experience in conducting evaluations addressing issues of education policy development/advocacy; partnerships in education development; education systems strengthening; public sector budgeting approaches; aid effectiveness; cooperation within and between developing country blocs; and, South-South cooperation.
- Exceptional knowledge of programming in the education sector
- Proven experience and institutional knowledge of UN agencies with mandates and/or portfolio responsibilities for education, at headquarters as well as field locations
- Previous experience with UNICEF;
- Facilitation skills, particularly design of stakeholder consultations exercises;
- Strong quantitative and qualitative data collection and analysis skills;
- Excellent language and communication skills in English and one other UN languages;
- Demonstrated report writing skills, in English;
- Computer literacy in Word, Excel and Power Point.

The evaluation team must have experience of working cross-culturally in development, and demonstrate capacity in managing evaluation projects and teams. The evaluation team will be required to demonstrate familiarity with UNICEF work for children and gender rights, to have

experience/familiarity with countries of different typologies, including countries undertaking humanitarian programming. Adequate gender and geographic balance is also desirable.

The team leader is required to work on the evaluation full time throughout the duration of the evaluation (7-8 month period). He/she will be required to lead in the data collection and analysis efforts, and to assure quality and validity of all activities, as well as contribute to drafting the report and editing. Other members of the team will be responsible for conducting desk reviews and assisting in data collection and data analysis, and other tasks as may be assigned by the team leader, hence their inputs may require less time. In all cases, the level of effort should be indicated for all team members.

Participation of present and former UNICEF staff and consultants: All current UNICEF staff may be involved only as informants or in other specific roles (e.g. member of the steering committee). They may not be evaluation team members. Former UNICEF staff or consultants that have worked on BEGE programming may be members of the evaluation team if they meet technical qualifications for skills. However, any prior involvement with UNICEF should be specifically noted in the technical proposal in order to work around any possible conflicts of interest.

Evaluation responsibilities, management and governance arrangements

The **Evaluation Specialist (Education)** in the UNICEF Evaluation Office in New York will be responsible for the following;

- facilitate initial consultations with relevant staff in the UNICEF HQ, and arrange for subsequent meetings and consultation with the global reference group;
- technical management of the evaluation according to the terms of reference and stipulations of the inception report;



- execute day-to-day management tasks and decision-making;
- contribute directly to the quality assurance of evaluation activities;
- review all products and provide written comments to the team, as well as be a liaison between the evaluation team and the global reference group; and,
- approve all final products.

The evaluation specialist will also provide overall guidance to the evaluation team on UNICEF requirements and standards for evaluative work.

The **evaluation team** will be responsible for the professional conduct of the evaluation in accordance with the UN Evaluation Group Norms and Standards for Evaluation, and the UN Code of Conduct for Evaluation. The team will also be expected to articulate a quality review process for the execution of the evaluation, and assessment of the final evaluation report based on the GEROS framework²⁰. The team will be expected to perform the following tasks:

- conduct initial consultations evaluation manager and relevant staff in the UNICEF HQ in New York;
- work with relevant officials in the UNICEF HQ and UNICEF Country Offices in selected countries to set up management arrangements for data collection at the country level, design and facilitation of the necessary meetings;
- develop and review data collection tools, including surveys, interview questions and protocols;
- execute data collection and data analysis plans;

- after formulating the initial findings, propose an approach to determine the generalizability of findings (using a delphi approach or any other appropriate technique) and execute it to obtain additional data that will ensure that the global perspective are represented in the evaluation;
- draft and present all products/reports as stipulated in the inception report, and ensure that all processes and products are quality reviewed; and,
- ensure that the evaluation manager (Evaluation Specialist in New York) is regularly informed of the progress of the evaluation, possible delays, and issues to resolve.

A **global reference group** will be established at the UNICEF Headquarters by the Evaluation Office, in consultation with the Education Section. Membership of the reference group will include the following eight (8) members from UNICEF:

- Senior Advisor, Evaluation & Research (Evaluation Office, HQ), who will be the chair for the reference group
- Global Chief of Education (Education Section, HQ),
- Two Senior Advisors, (Education Section, HQ)
- Three Senior Advisors based at regional offices (Two Regional Education Advisors and one Regional M&E Advisor)
- Evaluation Specialist and evaluation manager (Evaluation Office, HQ)

An invitation to join the global reference group will be extended to three additional individuals that are external to UNICEF, but associated with UNICEF education programmes, and BEGE upstream work in particular.

²⁰ Find information on GEROS at <http://intranet.unicef.org/epp/evalsite.nsf/8e1ddc662803020785256ede00706595/b6b7a59b5bb7b285852577e4006f7338?OpenDocument>



The global reference group will provide oversight of the evaluation, with members responsible for receiving updates on a pre-determined schedule as the evaluation reaches certain milestones (e.g., inception phase, end of data collection phase); reviewing selected evaluation products (inception report, evaluation brief and final/penultimate report) and providing written comments to the evaluation team through the evaluation manager; and, contributing to the post-evaluation management response, action plan and dissemination strategy.

National reference groups will be established in case study countries where field work will be conducted in view of the nature of the issues that will be investigated in each country, as well the need to engage high level officials in government. Membership of national reference groups will include the following:

- UNICEF (Education Chief/Advisor and M&E Specialist or Social Policy Adviser)
- government counterparts,
- external members involved in education sector work

National reference groups will provide oversight of the evaluation, with members responsible for advising on the adaptation of the design and methodology to the country context: reviewing evaluation products, including the inception and draft final reports; and, contributing to the post-evaluation management response, action plan and dissemination strategy within country.

Risk and risk mitigation

While it possible to predict all the problems and risks that might arise, timing and availability of data are considered most likely. The proposed timeline is for the evaluation is quite tight; hence both the evaluation team and the evaluation manager will be expected to adhere to agreed deadlines. To this end, as soon as we confirm the list of the 14 countries that will participate in the desk-based review, the evaluation manager will invite UNICEF office to contribute all the necessary documentation. Also, UNICEF country office support will be necessary in ensuring that time spent in-country is used efficiently; hence case study teams leaders to schedule interviews and reference group meetings and to resolve logistical issues prior to the onset of country visits.

Data availability, quality and consistency are to a degree unknown. The mitigation factors will be a comprehensive effort to collect data and sources, and the creativity and skill of the evaluation team in exploiting an evidence base that may have some gaps. Otherwise, unforeseen risks will be quickly addressed by the Evaluation Office and the evaluation team.

Proposed work plan and timeline

A tentative schedule for major evaluation activities and estimated timelines is presented in Table 3. Some of the activities will overlap, hence the work plan proposed should be compressed into a 6-7 months.

TABLE 3 Proposed Evaluation Timeline

Task	Time Estimate	Person Responsible
PLANNING AND RECRUITING	10 weeks (11 Feb-26 April)	
Publishing EoI	2 weeks	KL
Publishing RfPS	4 weeks	KL
Recruit evaluation team/contracting	4 weeks	KL/SB/ DR/Education



Table 3 (cont'd)

Task	Time Estimate	Person Responsible
DESK STUDY/INCEPTION	7 weeks (06 May-21 June)	
Conduct desk review, craft methods, instruments	4 weeks	Evaluation team
Receive inception reports and feedback to evaluation team	1 week	KL/Reference group
Present inception reports to reference group/and finalize	2 weeks	Evaluation team
Prepare for field visits	1 week	Evaluation team/KL/DR
DATA COLLECTION AND DATA ANALYSIS	7 weeks (17 June-02 Aug)	
Pilot instruments, collect data, and present preliminary findings	2/3 weeks ²¹	Evaluation team/KL
Conduct data analysis/ prepare delphi-survey instruments	2 weeks	Evaluation team
Conduct delphi-survey and incorporate in global level analysis	2 weeks	Evaluation team
REPORTING	8 weeks²² (12 Aug-14 Oct)	
Prepare and submit evaluation brief/begin drafting final report	1 week	Evaluation team
Prepare and submit first draft of evaluation report	2 weeks	Evaluation team
Receive first draft and feedback to evaluation team	1 week	KL
Prepare and submit second draft of evaluation report	1 week	Evaluation team
Receive second draft and feedback to evaluation team	3 days	KL
Receive penultimate draft and feedback to evaluation team	2 weeks	KL, Reference group
Present final report to reference group, EO, ES And all other deliverables	1 week	Evaluation team
Conduct review of evaluation process and report using GEROS framework	1 week	Evaluation team
PUBLICATION/DISSEMINATION	6 weeks (18 Oct-01 Dec)	
Submit final report for copy editing/translation	2 weeks	KL, CS, translators, copy editor
Submit final report for proof reading	1 week	KL, CS, copy editor
Prepare evaluation summary booklet	1 week	KL, CS
Submit final report for design and layout	2 weeks	KL, CS, desktop publishers
Submit final report/summary booklet for online publishing/printing	1 week	KL, CS, publisher, printer
MANAGEMENT RESPONSE/DISSEMINATION	12 weeks (01 Dec-28 Feb, 2014)	
Draft management response and present to EO		ES, and PD
Finalize management response		EO and ES, and PD
Present evaluation report in webinars		EO and ES, and PD

²¹ The suggested timeframe for country visits is 3 weeks for the first case study, and 2 weeks for the subsequent case studies. Case studies are expected to run concurrently.

²² The period between August and October will also be used by the evaluation manager to review and finalize case study reports after they have been peer-reviewed by the team and cleared by the overall team leader.



Submission guidelines (to be read with RFPS-USA-2013-501619)

Institutional Profile

Background Information: Bidders are required provide to background information about their institutions as follows:

- Date and country of incorporation
- Summary of corporate structure and business areas
- Corporate directions and experience
- Location of offices or agents relevant to this proposal
- Number and type of employees
- Financial statements of the two most recent financial years

Institutional expertise and experience: Bidders are required to provide a minimum of three (3) references from clients for whom evaluations (or related projects) of a similar scope of were carried out. References information should be organized as follows:

- Name and description of client company/organisation
- Names of senior individuals in the client companies who were involved in the project (referred to) who are knowledgeable
- Scope and scale of projects
- Services provided to client

UNICEF may contact referees for feedback on services provided to them by bidders.

Technical Proposal

General issues:

- Technical proposal should emphasize the conceptual thinking and methods proposed for the evaluation, and minimize repeating information stated in the terms of reference.

- There is no minimum or maximum length for the technical proposal. However, sufficient detail and clarity are required.
- The proposal should stipulate the level of effort to be committed by the different team members in each phase (inception, data collection/analysis, reporting). That same information should feature in the financial proposal, associated cost data.
- If the technical proposal indicates the need to hire local researchers or other institutions, the level of effort for such additional inputs should be clearly identifiable in the proposal. Furthermore, the experience of the organization in locating and supervising local teams must be described.
- Bidders may be asked to provide additional information at the proposal assessment stage.

Specific requirements: In addition to whatever other approaches and methods are proposed, the following specific items **must be** present in the bidding documents:

- Presentation of a work plan in three phases (inception, data collection and reporting), with details on the overall design and data gathering methods to be used.
- Details of team members' relevant qualifications and the basic information about the organization submitting the bid.
- The intended participation of any former UNICEF staff.
- The level of effort for all team members in both the technical (without price) and financial proposals (with costs).
- The presence of any local researchers or others not normally full time members of the bidding organization, with a description of how they will be engaged and supervised.
- Requirements and /or assurances (e.g. non-use of child labor) that must also accompany the submission package.



While all contents of the technical proposal are important, special attention will be paid to the composition and strength of the proposed evaluation team, and the rigor of the proposed methodology (mainly the soundness of the criteria for assessing normative questions, the rigor of both the case study approach and the rigor of the approach for enhancing the validity and generalizability of evaluation findings). These two elements account for 70 percent of the points awarded for the technical proposal as indicated in Section 4 (p.19) of the RFP document. The proposed work plan, organizational capacity and sample report will account for the remaining 30 percent.

Cost Proposal

General issues

- Bidders must submit a firm-fixed price bid²³, in **US Dollars**.
- The quotation will not subject to revision unless officially invited to re-submit by UNICEF.
- All prices/rates quoted must be exclusive of all taxes as UNICEF is a tax-exempt organization
- Bidders will suggest a payment schedule, linked unambiguously to contract milestones.
- Invoicing and payment will be effected by bank transfer, in US Dollars.

Budget categories and details

The budget should be presented in three categories: personnel costs, project costs, and overhead costs. Sub-headings within the categories may be done at bidder's discretion.

- *Personnel Costs:* These should include classification (i.e. job title/function) and rates for team members; duration of work for each. This information may be contained

within a table showing expected level of effort per team member, by project phase. The level of effort must be visible in both the technical and the financial proposals, albeit without associated cost in the technical proposal. If it is proposed to hire local researchers or other affiliated institutions, the costs and level of effort must be specifically identifiable in the proposal.

- *Project costs:* These should include cost of travel, including subsistence allowances, travel by air, train, road, etc., telecommunication and miscellaneous expenses. For bidding purposes, bidders will employ 4 destinations (Afghanistan, Democratic Republic of the Congo, Turkey, and Zimbabwe), for travel, local research etc costs. Case study sites have not been decided and are subject to discussion, but employing the same set for all permits bid comparison. Travel to selected destinations will be on a cost-reimbursable basis. This is the sole budget component that will be charged this way; other elements will be firm-fixed price.
- *Overhead costs:* General and administrative costs should include institutional overhead and fee/profit over and above overhead. The cost proposal must include detailed item-wise quotations, based on the terms of reference and other relevant documents. Travel costs and subsistence rates (lodging, food, local transport, and incidentals) will be based on the lower of the rates proposed by the bidder or the official and prevailing United Nations rates. Bidders are encouraged to submit economical travel and subsistence costs. If information on prevailing UN rates is required, please submit a question as described in the RFP guidelines. Experience has shown that bidders often submit data using their own cost rubrics and not according to the three categories described next. This is *acceptable* as long as UNICEF can re-cluster the figures into the three headings.

²³ All costs will be fixed, except for travel to selected destinations, which will be on a cost-reimbursable basis.

**Awarding the contract and payment**

UNICEF will award the contract after considering both technical and cost factors, on the principle of best value-for-money. Payment will be made only upon UNICEF’s acceptance of the work performed in accordance with agreed

schedule of payment and/or contract milestones. The terms of payment are **net 30 days, after receipt of invoice and acceptance of work.** Where the need arises, earlier payment may be negotiated between UNICEF and the contracted institution, on the terms indicated in the RFPS.

APPENDIX A: INDICATIVE EVALUATION QUESTIONS FOR THE GLOBAL AND REGIONAL LEVELS

Evaluation Themes	Evaluation Objective	Evaluation Questions
1 Shared Definition	To articulate UNICEF’s education upstream approach, examine the extent to which there is a shared understanding of this approach in education programming, and whether outcomes and pathways to achieving results in policy advocacy work are articulated clearly.	<p>1.1 Is there is a shared understanding of what constitutes ‘upstream’ work in BEGE? How well is it understood by Education program staff at all levels? To what extent are goals of upstream engagement in BEGE shared by national counterparts?</p> <p>1.2 Is there a common approach (explicit or implied) or common principles of upstream engagement in BEGE that can be adapted to different contexts? What is the underlying theory of change (explicit or inferred)? Are desired outcomes stated clearly? Are there realistic pathways to achieving results?</p> <p>1.3 To what extent has formal learning been applied to this area, and with what results? What tools, processes and approaches have been developed by countries to facilitate their upstream engagement? What good practices for linking upstream work to midstream or downstream work have been developed in BEGE programming?</p>
2 UNICEF Positioning	To identify and review approaches, principles, best practices and benchmarks in education policy development and other aspects of upstream engagement for comparison with UNICEF strategies and practices, relative to UNICEF’s comparative advantage.	<p>2.1 Who are the leading global players working upstream in education? What are their respective strengths/niches? Are there identifiable approaches, tools and practices and systems that they have in common? What challenges are they facing?</p> <p>2.2 What differentiates UNICEF from other organizations that work upstream in education? What relative strengths does UNICEF bring to the global policy dialogue in comparison to other global actors? What does UNICEF gain from collaborating with external partners in education upstream work?</p> <p>2.3 What critical lessons and/or good practices does UNICEF need to adopt in order to enhance its effectiveness, visibility and credibility in future education upstream work?</p> <p>2.4 What, if any, are the new priorities for upstream engagement in education for MTSP (2014-17)? Do these align with UNICEF’s priorities (e.g. children’s rights, equity, gender)? Is there significant divergence or misalignment between UNICEF’s priorities and those of the global education development community?</p>



Appendix A (cont'd)

Evaluation Themes	Evaluation Objective	Evaluation Questions
3 Building back better	To examine UNICEF's performance in capitalizing on opportunities created by humanitarian crises to advance education policy development and advocacy, leverage resources for 'building back better' in order to strengthen education system response.	<p>3.3 How well has UNICEF used its unique position in post-conflict countries to rebuild and transform the education sector? What are the strengths and weaknesses in the way that UNICEF engages and links upstream with downstream in post-conflict settings?</p> <p>3.2 What "good practices" have been developed in emergency-conflict settings to link upstream and downstream work? What partnerships, capacities, and tools have enabled this work? In linking upstream and downstream work in emergency settings, what are gaps that persist?</p> <p>3.3 What improvements are necessary for UNICEF to maintain its comparative advantage in working in upstream linked to downstream in post-conflict settings?</p> <p>3.4 What contribution has UNICEF's made in the development of policies and guidelines in disaster planning, preparedness, and response, as they relate to education? To what extent has UNICEF advanced its agenda with respect to rights, equity, and gender through these vehicles?</p>
4 External Partnerships (Key partnerships selected for investigation are GPE, UNESCO, and World Bank)	To examine whether UNICEF's engagement in different types of partnerships is strategic and credible, and whether UNICEF's partnership strategy contributes significantly to advancing education policy advocacy and education outcomes in countries of different typologies, including countries undertaking humanitarian programming.	<p>4.1 What partnerships and mechanisms does UNICEF utilize to engage in BEGE upstream work? What aspects of BEGE upstream work were carried out through collaboration with key partners in education development? What proportion of BEGE upstream work do those constitute? What are the key results that were achieved through these partnerships and mechanisms?</p> <p>4.2 What capacities has UNICEF strengthened through its engagement in key partnerships? What trade-offs were made to ensure that partnership arrangements work as intended? What risks were incurred?</p> <p>4.3 How do partners view as UNICEF's contributions to the partnership? What is the most valuable asset that UNICEF brings into its collaboration with others? Do collaborators view UNICEF as a credible partner? What improvements are necessary?</p> <p>4.4 Is UNICEF's involvement in key partnerships contributed to its efficiency and effectiveness of upstream strategies in various programming contexts (LDCs, MICs, education in emergency)? What improvements are necessary to enhance efficiency and effectiveness of upstream engagement efforts?</p>



Appendix A (cont’d)

Evaluation Themes	Evaluation Objective	Evaluation Questions
5 UNICEF-wide collaboration	To determine the extent to which BEGE collaborates and coordinates internally with respective divisions, sections and offices in UNICEF to advance UNICEF’s upstream agenda in education.	<p>5.1 What aspects of BEGE upstream work and results were achieved through cross-sectoral collaboration with others in UNICEF? What proportion of BEGE upstream work do those constitute?</p> <p>5.2 In what ways has upstream work carried out in a cross-sectoral framework achieved different or better results than work carried out by BEGE alone?</p> <p>5.3 What gaps in BEGE’s capacity were filled by taking a cross-sectoral approach? What challenges has the Education Section experienced working cross-sectorally?</p> <p>5.4 In what way has cross-sectoral engagement been managed to enhance efficiency and effectiveness in achieving results?</p>
6 Capacity	To identify core skills, tools, systems and institutional arrangements required for UNICEF’s upstream education work, assess their adequacy, and evaluate efforts at building capacities of UNICEF education staff and key partners in government for future upstream engagement.	<p>6.1 What are the key skills, tools, and systems required for effective engagement in education upstream work? What the required institutional arrangements and accountabilities?</p> <p>6.2 To what extent has the BEGE’s capacity building strategy taken into account the special skills and capacities that are required for effective advocacy with senior government officials?</p> <p>6.3 How do current capacities of BEGE staff and programmes compare against repertoire of skills required for upstream engagement? What gaps exist between current capacity and required capacity? How well do the current capacity building strategies (Harvard Programme and other HR & operations initiatives) address these gaps?</p> <p>6.4 Has UNICEF articulated the skills, tools and capacities to enable national counterparts to engage effectively in policy dialogue and other upstream activities? Are there corresponding capacity development/improvement plans for national counterparts?</p>

APPENDIX B: SUGGESTED APPROACH FOR CASE STUDIES

A. Overview

UNICEF Evaluation Office (New York) plans to commission a global evaluation of upstream work in basic education and gender equality programmes. The overall purpose of the evaluation is two-fold: to examine UNICEF’s

contribution in ‘upstream’ work in education and assess the extent to which BEGE focus area engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation will also determine the extent to which upstream engagement efforts translate to desired transformations in education sector policy and practice, and national systemic strengthening



in programme countries. The evaluation will review new strategies to inform sector policy dialogue in the new MTSP (2014-17) against lessons learnt from upstream engagement in the current MTSP period (2006-2012).

The methodology proposed of the evaluation includes a **desk review** of relevant literature, a review and analysis of programme documents, national development plans, education sector plans (from the Education Section in New York, regional offices, and 14 country offices), as well as past evaluation findings on theme under investigation. Primary data collection, using the case study approach, will be carried out in (5-6) countries of different typologies. These will be selected on the basis of advice about the level of focus on upstream engagement, and recommendations of the evaluation team, based on the findings of the document analysis. Case studies will be a source of quantitative verifiable data on UNICEF's of upstream work (policy pronouncements, new budgeting processes, etc) and the ranization's contribution to achievement of results at the country level.

In addition to describing upstream engagement efforts in each country, we propose executing a predominantly exploratory case study approach. This entails examining how stated results (KRAs, PCR and IRs) have enabled UNICEF to make a strategic shift towards upstream policy engagement, and passing judgment on how effective the strategies for upstream engagement have been. Case study should also examine evidence of how discrete programme elements and/or strategies such (e.g., child friendly schools, life skills education, school readiness initiatives, school fees abolition, etc.), and pilots have been used as a basis for policy advocacy and/or engagement.

Led by a senior evaluator, each case study team will interview UNICEF country office staff, national government partners, other partners who participate in education sector groups,

policy-makers, and any key stakeholders who collaborate in education policy matters. Where opportunity presents itself, the evaluation methodology will compare understandings and perceptions of different categories of stakeholders on the relevance, demand and utility for upstream policy work in education. Hence, this section of the terms of reference proffers a case study approach, to focus and delimit the primary data collection effort at the country level. However, bidders are invited, as part of the overall methodology of the evaluation, to improve on this proposed approach, or proffer are more appropriate approach.

B. Purpose and scope of the case studies

Purpose: The purpose of the case studies remains consistent with the purpose of the overall evaluation - to examine UNICEF's contribution in "upstream" work in education, to assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. In addition case studies will provide an opportunity to measure progress towards achieving goals by determining whether UNICEF's education upstream engagement is relevant, coherent, efficient, translates to attainment of planned/stated results (IRs, PCRs or KRAs, as well as MDGs 2 and 3) and desired outcomes (transformations in education sector policy and practice, national systemic strengthening), and whether the efforts are sustainable.

Specific evaluation questions for each evaluation objective are indicated in Appendix A. It may be necessary to adapt evaluation questions to make them relevant to the country context as proposed in Table 4.



TABLE 4 Proposed for adapting evaluation questions for country level investigation

Evaluation Themes	Evaluation Objectives	Country level adaptation
1 Shared Definition	To articulate UNICEF's education upstream approach, examine the extent to which there is a shared understanding of this approach in education programming, and whether outcomes and pathways to achieving results in policy advocacy work are articulated clearly.	A shared definition of upstream engagement will emerge during the inception phase – this should be validated at the country level. More importantly, the case study should collect empirical evidence on question 1.2, 'whether outcomes and pathways to achieving results in policy advocacy work are articulated clearly'.
2 UNICEF Positioning	To identify and review approaches, principles, best practices and benchmarks in global education policy development and other aspects of upstream engagement for comparison with UNICEF strategies and practices, relative to UNICEF's comparative advantage.	Identify the leading voices in education policy dialogue in-country, determine what they do and what differentiates them from UNICEF; identify practices that exemplify 'upstream engagement', and assess them against global benchmarks and 'good practices'. Also, identify new country priorities for upstream engagement in education that will require the attention of UNICEF and others in a few years.
3 Build back better	To examine UNICEF's performance in capitalizing on opportunities created by humanitarian crises to advance education policy development and advocacy, leverage resources for 'building back better' in order to strengthen education system response.	If the country is engaged in humanitarian programming, assess UNICEF's performance as stipulated in questions 3.1 through 3.4 (Appendix A).
4 External Partnerships	To examine whether UNICEF's engagement in different types of external partnerships is strategic, and whether UNICEF's partnership strategy contributes significantly to advancing education policy advocacy and education outcomes in countries of different typologies, including countries undertaking humanitarian programming.	Questions 4.1 through 4.4 can guide the analysis adequately. However, in addition to the GPE, UNESCO and the World Bank, the country level analysis will focus on education SWApS where applicable. In non-SWAp countries, the investigation will identify the partnership strategy that is executed with national governments (and national committees in some countries), and assess it against questions 4.1 through 4.4.
5 UNICEF-wide collaboration	To determine the extent to which BEGE collaborates and coordinates internally with respective divisions, sections and offices in UNICEF to advance UNICEF's upstream agenda in education.	With minor adjustment and/or refinement, questions 5.1 through 5.4 (Appendix A) are applicable to the country level analysis.
6 Capacity	To identify core skills, tools, systems and institutional arrangements required for UNICEF's upstream education work, and evaluate efforts at building capacities of UNICEF education staff and key partners in government.	With minor adjustment and/or refinement, questions 6.1 through 6.4 (Appendix A) are applicable to the country level analysis.



Bidders are invited to propose the final set of questions for the country level and organize evaluation questions around a framework that stipulates whether they are descriptive or normative or, and how the OECD/DAC criteria and the additional criterion of ‘coherence’ will be used in the country level enquiry. For the purpose of this evaluation, evaluation criteria will be operationalized as follows;

- **Relevance:** To determine the extent to which upstream engagement and priorities are consistent with country needs as articulated by situation analyses and local perspectives, and whether upstream engagement strategies respond to evolving circumstances.
- **Coherence:** To determine the extent to which approaches, strategies, policies, and different policy communities work together in ways that result in tools and products that accommodate multiple perspectives. The evaluation will also look for synergies and complementarities among different organizations that are engaged in education upstream work, and determine if they are harnessed towards achieving shared objectives.
- **Efficiency:** To determine whether BEGE engages in upstream work with competence and consistency. This include assessments of whether the standards and benchmarks are in place, meaningful partnerships have been created, and resources are deployed in a cost-effective manner;
- **Effectiveness:** To determine whether plausible and feasible pathways to achieving results are clearly stipulated (e.g., in results frameworks), whether efforts are in place to monitor implementation and measure progress towards intended outcomes, and if indeed intended results were achieved.
- **Impact:** To examine the main effects resulting from advocating for identifiable policies and policy decisions in BEGE’s upstream portfolio on beneficiaries, particularly

disadvantaged groups such as girls, children with disabilities, and children from ethnic or linguistic minorities. All types of effects should be investigated, positive and negative, intended and unintended, as well as the number of those affected positively and/or negatively.

- **Sustainability:** To determine if upstream work in education programming are planned and implemented in sustainable ways through the education system response. This criterion will also access attempts to balance local perspectives with international commitments, MDGs, and the intended focus on sustainable development (as articulated in the Paris declaration).

The evaluation team is expected to develop an investigation framework that will incorporate these evaluation criteria, thus further delimiting the scope of the evaluation.

In addition to the questions in Appendix A (and adaptations as suggested in Table 2), UNICEF’s contribution to policy development at the country level should be assessed. Indicative questions for investigating this theme are as follows:

1. What is UNICEF’s (BEGE) contribution to policy analysis, development, implementation or advocacy?
2. In which of the following has UNICEF’s relative influence on education policy been the strongest? (i) supporting policy development (ii) building capacity to implement policy (iii) setting norms and standards that help monitor and fine tune implementation; or (iv) piloting innovations and building empirical evidence for incorporating into national and sub national program design?
3. Given the above, which of UNICEF’s strategies (research, knowledge sharing, EMIS, normative work and pilots) has been most effective for influencing policy formulation and/or improved implementation?
4. In cases where evidence generated from research studies, EMIS, normative work



and pilots run contrary to established viewpoints, did the programme have a clear strategy to advocate a different view point to the government? How successful was the strategy?

5. Is UNICEF's effort in policy development directed to the most critical issues that face the education system in the country? If not, what elements should be included

in the new policy agenda at the next available opportunity (new CP, new OMP, MTSP 2014-2017)?

Judgments about the effectiveness of programme strategies in achieving results and their efficiency should be based on the actual planned results as stipulated in country programme (CP) documents. Table 5 provides an illustration of country level results.

TABLE 5 Indicative results for the country level (IRs)

Intermediary results (IRs)	Indicators and 5 year targets
2.3.1.1 By 2015, educational policies addressing elements of the Government's Education Reform agenda covering equity and quality of education for poor and vulnerable children are strengthened and supported.	<p>Number of studies conducted (policy research and analytical evaluations) on emerging issues in education that meet established quality criteria and provide evidence for revisions/ fine tuning of the reform agenda. (Baseline: 0; Target: 10)</p> <p>Number of users who access the knowledge website for information on global policies and best practices. (Baseline: 0; Target: 10,000)</p> <p>EMIS data, in line with international definitions, available for 2015 MDG reporting, including data on status of education and school quality for disadvantaged groups. (Baseline: N; Target: Y)</p>
2.3.1.2 By 2015, education systems addressing elements of the Government's Education Reform agenda covering equity and quality of education for poor and vulnerable children are strengthened and supported.	<p>National level indicators /indices and educational planning tools, including school quality indicators and costing, available and widely used (Baseline: N; Target: Y)</p> <p>National standards for school quality and learner quality are available and applied in monitoring school performance. (Baseline: N; Target: Y)</p> <p>Professional standards, training packages, supervision systems and monitoring tools for school principals available and used widely to assess school management standards. (Baseline: N; Target: Y – by component)</p>
2.3.1.3 By 2015, elements of the government early Education Reform agenda covering equitable expansion of quality ECE services and Family- and community-based early education services are strengthened with policies and tools for monitoring and capacity building of teachers.	<p>A national policy for monitoring the quality of early education centers is developed, including assessment guidelines and preschool educational norms. (Baseline: N; Target: Y)</p> <p>A teacher training package on early education is developed and made available for large scale adoption. (Baseline: N; Target: Y)</p> <p>Percent of teachers who exhibit proficiency in implementing a quality readiness programmes. (Baseline: TBD; Target: 50%)</p> <p>Percent of parents and childcare workers exhibiting knowledge of child care practices. (Baseline: TBD; Target: 60%).</p>



C. Methodology and reporting

Methodology and tasks: While case studies will follow the methodology laid out for the evaluation, discrete tasks for executing case studies should include:

- Reviewing desk study findings (from the inception phase) as they relate to the country under consideration, and deepen the analysis by incorporating more details from education planning documents (e.g., Education Sector Plans, GPE proposals); results of the situation, bottleneck, and/or conflict analyses; data from the EMIS; and, relevant reviews and 'lesson learned' exercises.
- Collect imperial data on evaluation questions that are applicable to the country level. The evaluation team is expected to conduct interviews and focus group discussions with key stakeholders in UNICEF, Ministry of Education, high-level and policy makers. To the extent possible, beneficiaries of the BEGE element of the country programmes should be interviewed.

- Prepare the draft case study report and share it with the national reference group convened for the evaluation, or a similar structure if one already exists.
- Prepare the final case study report, based on feedback from the national reference group.

The case study leader in each country is responsible for preparing a complete first draft of the case study report, and to discuss it with the national reference group at the end of the country visit. Once cleared by the overall team leader, case study leaders will work with the evaluation manager to finalize case study reports.



ANNEX 2

NOTE ON APPROACH AND METHODS

Introduction

This was UNICEF’s first attempt to evaluate upstream work. The inception stage focused on developing an appropriate methodology, which was fully set out in the Inception Report (Mokoro Limited, 2013). This note summarizes the methodology adopted and also reports on the evaluation team’s experience in implementing it. Successive sections: (a) describe the core methodology and evaluation instruments; (b) show how the “key themes” raised in the TOR are addressed in the report; (c) describe the evaluation process; and (d) comment on limitations of the methodology.

Methodology and key Instruments

Evaluation criteria

The key task for the evaluation was to assess the extent to which UNICEF’s upstream work between 2003 and 2012 had system-wide, sustainable impacts on the national capacities of public sector duty bearers, and whether these impacts were relevant, and achieved effectively, efficiently, and coherently (for definitions of these evaluation criteria see Table A1).

The methodology was designed to address the three questions at the centre of the evaluative process (Connell and Kubisch 1998): (i) What occurred? (ii) What were the intended and measurable outcomes? and (iii) How are the data to be collected and analysed such that the causal links between treatments and outcomes are described convincingly?

Overview of key instruments

The results of upstream work are elusive. While upstream work may coincide with changes in measurable education outcomes such as net enrolment rates, proving causality is made difficult by many exogenous variables and by the characteristic lags between inputs and outcomes. However, with care, it is possible to draw reasonable causal inferences.

The methodological approach taken for this evaluation is built around three familiar evaluation instruments:

- **theory of change**, whereby the evaluator creates a model of the micro-linkages or causal path from the programme to the

TABLE A1 Evaluation criteria

Criterion	Description
Relevance	The extent to which the development intervention is consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and UNICEF’s policies.
Effectiveness	The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Sustainability	The continuation of benefits from UNICEF’s engagement at the upstream impact and BEGE impact level over the long term. The resilience to risk of the net benefit flows over time.
Coherence	The alignment of UNICEF’s upstream work internally, and with the work of its key partners.

Adapted from OECD/DAC (2013)



ultimate outcome, such that each link can be empirically tested (Weiss 1995). Evaluation theories of change often make use of outcome mapping, which measures results by changes in behaviour, actions and relationships of those individuals, groups or organizations with whom the initiative is working directly and seeking to influence (Ramalingam 2006; Jones and Hearn 2009);

- **contribution analysis** to argue the links between the initiative and observed changes in its environment as mapped in the theory of change, taking account of other parallel influences; and
- an **evaluation framework** that turns the theory of change into a set of evaluation questions, with guidance on the appropriate evidence to answer the questions, and provides defensible criteria to move from findings on what occurred to evaluative judgements on whether, how and why the initiative worked, or did not work.

Evaluation theory of change

The organizing structure for the evaluation methodology is the theory of change, which sets out a postulated results chain from UNICEF's upstream inputs and upstream engagement, to upstream impact and changed BEGE outcomes, within the context of the engagement. The theory of change is key in determining what 'facts' need to be collected, and brings to the surface the assumptions and risks associated with the chain.

The foundation theory of change for the evaluation is shown in Figure A1. It is a foundation theory of change insofar as every incidence of UNICEF upstream engagement will have a specific theory of change that might only include some of the inputs, outputs and impacts, and for which inputs, outputs and impacts could be described in more specific terms. The theory of change of upstream work at the global and regional level also differs from that of work at the country level. And the theories of change underlying its various interventions may or may not have been made explicit by UNICEF.

The categorization of UNICEF inputs (column 2) and activities and outputs (column 3) is based on an analysis of the activities identified during the initial literature review. The assumptions and risks are working hypotheses to explain why upstream work may or may not have been effective, in cases where all the input assumptions have been met.

Assessing policy influence

This analysis of UNICEF interventions also made clear that UNICEF's upstream work is usually aimed at policy influence and strengthening national capacities for education management. The evaluation applied outcome mapping to enable it to measure these intermediate outcomes through evidence on changes in behaviour, actions and relationships of actors and governments.

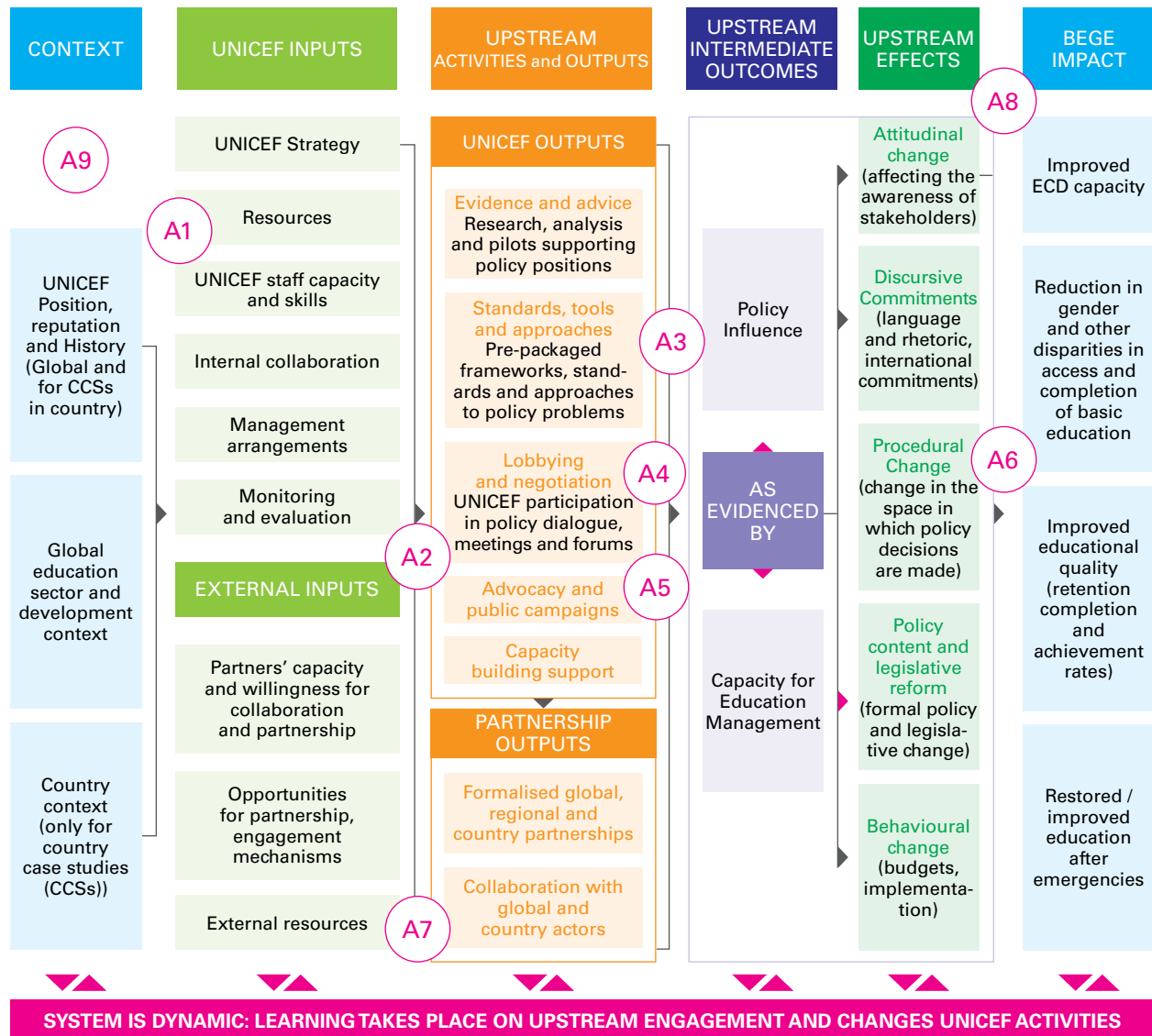
To systematize this evidence, the evaluation used a typology of the impacts of policy and advocacy work set out in Jones (2011), which identifies five key dimensions of impact in policy and advocacy work:

- Framing debates and getting issues onto the political agenda, characterized as attitudinal change;
- Encouraging discursive commitments from states/policy actors: affecting language and rhetoric;
- Securing procedural change at domestic or international level: changes in the process whereby policy decisions are made, such as opening new spaces for policy dialogue;
- Affecting policy content, e.g. legislative change or formally adopted policies; and
- Behavioural change in key actors, such as changes in budgets and implementation.

These dimensions of impact are set out in column 5 of the Foundation Theory of Change. It is useful that there is an obvious hierarchy between them, as it has allowed the evaluation to rank the effectiveness of different UNICEF upstream interventions.



FIGURE A1 Foundation Theory of Change



Key assumptions / risks

- A1** The mix of UNICEF inputs is suited to produce quality outputs leading to policy influence, capacity building and upstream impact cost effectively/efficiently.
- A2** If UNICEF has these inputs in place, it will be able to produce some of the outputs. However, it has to go into partnership with boundary partners and education public sector actors to achieve other outputs and the upstream impact. These inputs are in combination sufficient to allow partnerships to occur.
- A3** UNICEF's outputs are sufficiently relevant to its partners and countries to sustain partnership, achieve upstream impacts.
- A4** These UNICEF and partnership outputs, either individually or in combinations, will result in policy influence and capacity for education management.
- A5** UNICEF's approach and outputs internally and with partners are sufficiently coherent to lead to upstream impact.
- A6** UNICEF's outputs are sufficiently relevant to the country context for its policy influence and capacity building to sustainably deliver BEGE impacts.
- A7** UNICEF reacts to changes in the environment and feedback from its engagement to strengthen its inputs and outputs sufficiently to adapt to dynamic situations.
- A8** Public sector duty bearers want BEGE impacts and are willing to change.
- A9** The context is conducive to effective upstream engagement.



Contribution analysis

Contribution analysis infers causality from the application of a reasoned theory of change verified by evidence. The influence of other factors, exogenous or complementary to the programme, is also weighed and considered. This method of analysis was used to assess the degree to which UNICEF inputs (funding, capacities, approaches, strategies, policies) and outputs contributed to the achievement of the intermediate outcomes as evidenced by upstream impact, through the links or pathways identified in the theory of change.

The key steps in the contribution analysis approach are shown in Figure A2. Stages 3, 4, 5 and 6 in the diagram are the kernel of the contribution analysis approach. In principle, it is relatively straightforward to formulate findings on UNICEF inputs and on overall outcomes/impacts (Step 3 and 4), through the collection of evidence. Steps 5 and 6 utilize the criteria set out in the evaluation framework as a basis for then disentangling the extent to which UNICEF inputs plausibly contributed to the intermediate outcomes and upstream impacts as identified in the theory of change.

The Evaluation Framework

The Evaluation Framework draws on the theory of change to develop a set of evaluation questions which guide the collection of evidence to verify the inputs, activities, outputs, outcomes and upstream impacts of UNICEF's upstream work in BEGE in order to arrive at evaluation findings and conclusions. The evaluation framework, set out in full in Table A2, was structured according to the theory of change and the evaluation criteria. The relevant questions in the evaluation framework were also used to guide the country case studies.

Modified Delphi Survey

A modified Delphi survey was undertaken to test the credibility and generalizability of the

team's findings and conclusions. This is fully described in 0 which also presents its results.

Evaluation Themes

The evaluation is summative, requiring findings and conclusions on UNICEF's past upstream efforts, as well as formative, requiring an analysis of lessons learnt to contribute to UNICEF's forward strategy. Within this overall scope, the TOR identified six evaluation themes, or areas in which UNICEF was particularly interested in findings, conclusions and lessons learnt. The themes are: shared definition, UNICEF positioning, building back better, external partnerships, UNICEF-wide collaboration, and capacity. The Evaluation Framework (Table A2) included questions which addressed these six UNICEF evaluation themes. Table A3 sets out the associated objectives and key questions posed and indicates where each issue is addressed in the report.

Selection Country Case Studies and their role

The country case studies were a vital component of the evaluation since they enabled in-depth testing of the theory of change at country level. The case study approach is a method for learning about a complex instance, based on comprehensive understanding of that instance, obtained by extensive description and analysis of that instance taken as a whole and in its context. In explaining what a 'case' is, Yin (2003) suggests that the term refers to an event, an entity, an individual or even a unit of analysis. It is an empirical inquiry that investigates a contemporary phenomenon within its real life context using multiple sources of evidence. Field visits and case studies may serve different objectives, as shown in Box 4.

From the 14 countries which formed the country-level scope of the desk study inception phase, four countries were selected for in-depth review

**BOX 1****Potential objectives for case studies**

- **Illustrative:** where a case study is descriptive in character and intended to add realism and in-depth examples to other information about a programme or policy.
- **Exploratory:** also a descriptive case study but is aimed at generating hypotheses for later investigation rather than illustrating.
- **Critical instance:** where it examines a single instance of unique interest or serves as a critical test of an assertion about a programme, problem, or strategy.
- **Programme implementation:** where a case study investigates operations, often at several sites, and often normatively.
- **Programme effects:** this application uses the case study to examine causality and usually involves multisite, multi-method assessments.
- **Cumulative:** this brings together findings from many case studies to answer an evaluation question, whether descriptive, normative, or cause-and-effect.

Source: Yin, R.K. (2003) *Case Study Research Design and Methods*, Applied Social Research Methods Series, Volume 5, Third Edition, Sage Publications Inc, USA

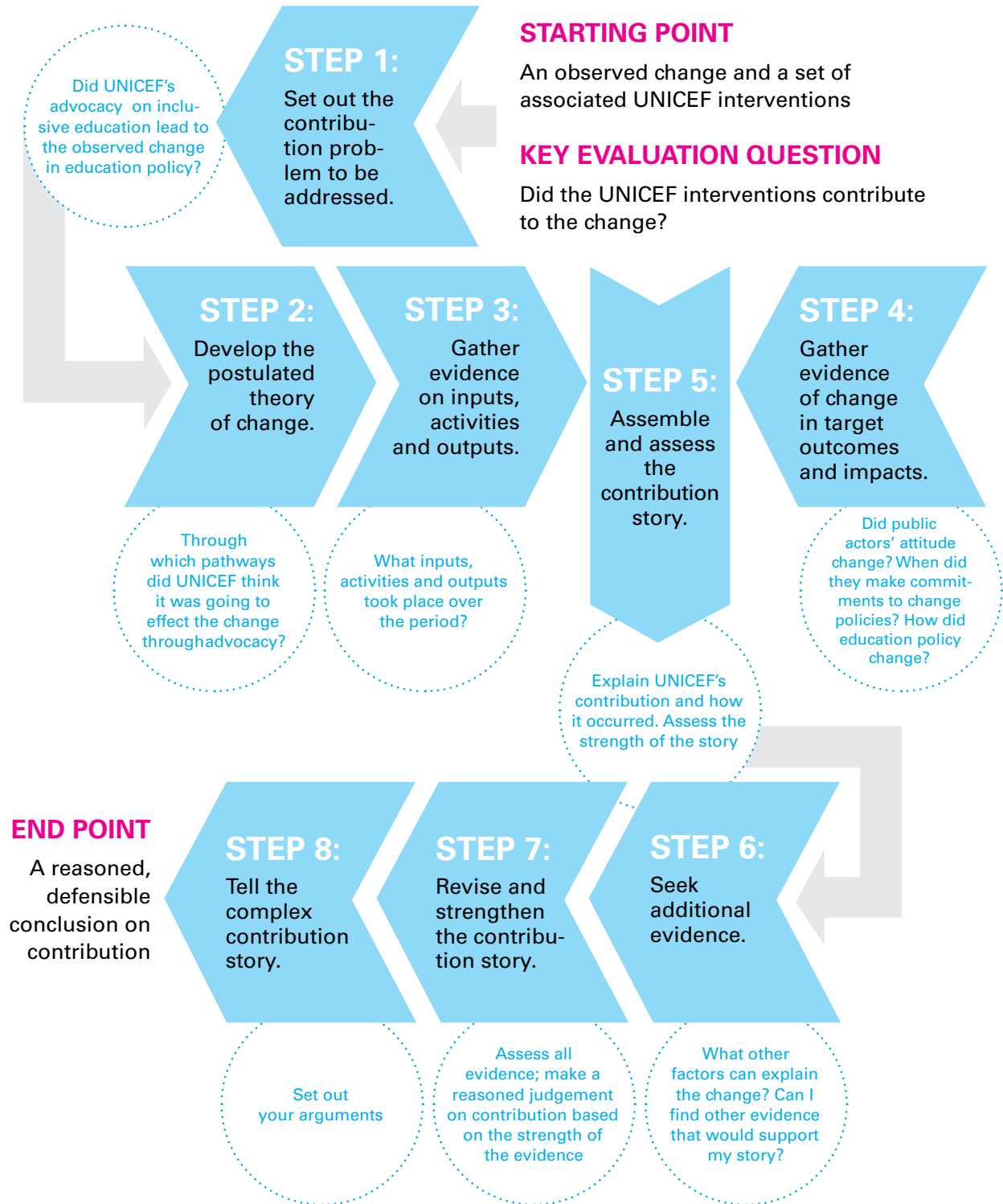
during the second phase, through home-based literature review and field-based data collection. Four country case studies were undertaken – Afghanistan, Brazil, Cambodia and Zimbabwe. Countries were proposed by Mokoro Limited, with the final selection made by the UNICEF Evaluation Office.

Case country selection was based on socio-economic and education sector profiles and the spread of UNICEF engagement across the BEGE KRAs and types of work, as well as the different types of partners (public and private) that countries engaged with in their upstream education work. Selected countries were required to include at least one middle-income country, fragile and post-conflict countries, countries with active education SWAPs, and countries from different geographical regions. Another important consideration was the perceived value of participating in the evaluation expressed by the willingness of the UNICEF Country Offices to be a case study country.

On the whole, the selected countries represented a range of UNICEF experience in terms of making the shift to upstream work in BEGE. However, the number of full country case studies was quite small, which obviated the need to extract as much value as possible from them. Hence the case study methodology was employed at two levels: at the level of the country, and at the level of specific UNICEF bundles of activities or interventions related to upstream work within each country. In this regard, three or four UNICEF interventions were identified as mini-case studies for exploration within each country case. These cases were examined for UNICEF's contribution to the results observed. Using a country-level case study approach enhanced understanding of programme effects (hopefully even cumulatively). Using an intervention-level case study approach was not only the most practical way given the time and resources; it also provided the opportunity to explore critical instances.



FIGURE A2 Contribution Analysis Steps



Developed from Mayne (2009) and EuropeAid (2013)



TABLE A2 Complete Evaluation Framework

TOC level/ DAC criteria	Specific Questions and subquestions	Analysis/ judgment criteria	Main tools and principal sources of information
Context/ Relevance	EQ1. What has been the context for UNICEF’s education work?²⁴		
	1.1 Who are the major international players, alongside UNICEF, concerned with basic education? What differentiates UNICEF and its positioning from the other players (perceived by UNICEF and others)?	Triangulate UNICEF’s own statements vs. external perceptions.	<i>Stakeholder mapping:</i> UNICEF’s constitutional and strategy documents; Secondary literature; Global interviews.
	1.2 What have been the key developments in the international aid environment during the evaluation period?	Identify developments most relevant to UNICEF mandate and approach (including education in emergencies).	<i>Literature review;</i> <i>Chronology:</i> Documentation of Paris, Accra, Busan processes; Documentation of changing profiles of aid providers and aid recipients.
	1.3 What have been the key international partnerships concerned with basic education, and how has UNICEF featured in these?	Major partnerships already identified in evaluation TOR.	<i>Literature review,</i> <i>interviews.</i>
	1.4 What have been the principal international trends in regard to basic education and gender equality? What issues have been the focus of international debate and action?	Establish main performance trends, especially re EFA and MDG targets. Identify issues most relevant to upstream concerns.	<i>Literature Review.;</i> EFA Global Monitoring Reports (GMRs) and other standard series.; UNICEF reports and documents from main education partnerships.

²⁴ The question focuses on the international context. When the framework was used for the country case studies, case study teams adapted the questions appropriately to the case study country context.



Table A2 (cont'd)

TOC level/ DAC criteria	Specific Questions and subquestions	Analysis/ judgment criteria	Main tools and principal sources of information
Inputs/ Relevance	EQ2. What upstream work has UNICEF undertaken?		
	2.1 What is meant by “upstream work” and how can it be distinguished in practice from other types of intervention?	Set clear working definition of “upstream work” and related terminology for the evaluation. (Evaluation’s generic definition to be used as a reference point for describing UNICEF’s usage under EQ2.2)	<i>Evaluation glossary.</i> Literature on evaluation methodology, especially with respect to “influencing”.
	2.2 In what ways has “upstream work” been defined by UNICEF and incorporated in its strategies and policies? What was the rationale for emphasis on upstream work in education (UWE)? Has UNICEF (explicitly or implicitly) spelt out a theory (or theories) of change for UWE?	Triangulate different sources and draw out implicit theories of change as necessary. Note whether different definitions have been employed.	<i>Theory of Change.</i> UNICEF strategic documents and reports. Interviews with UNICEF staff.
	2.3 What measures has UNICEF taken to prioritize UWE? e.g. strategic plans and policy guidance (including KRAs etc); tools, methodologies, capacity development ; M&E mechanisms to support emphasis on UWE (how have targets been set and achievements measured?); other measures?	Establish taxonomy and chronology of main UWE measures, and assess their novelty in the UNICEF context. Identify inputs and activities related to UWE (see also subquestion 2.4).	UNICEF strategic documents and reports. Interviews with UNICEF staff.
	2.4 Have shifts to upstream work (and particularly UWE) been reflected in UNICEF budgets and UNICEF’s portfolios of activities?	<i>Quantitative:</i> If possible, apply rough classification of upstream vs. downstream budget categories to establish trends in their relative importance over time. <i>Qualitative:</i> Review programme documents for evidence of upstream focus in rhetoric and in intervention design.	<i>Budgetary and financial analysis. Document analysis. UNICEF interviews.</i> UNICEF budget and expenditure data. UNICEF programme documents and reports.



Table A2 (cont'd)

TOC level/ DAC criteria	Specific Questions and subquestions	Analysis/ judgment criteria	Main tools and principal sources of information
Inputs/ Relevance	EQ3. How relevant has UNICEF's (approach to) upstream work been?		
	3.1 Is UNICEF's approach to UWE aligned with its mandate and objectives?	Assess against the context delineated in response to EQ1. (NB relevance embraces appropriateness of design and proportionality of resources applied.) (Alignment between UNICEF HQ, regional and country offices is considered under EQ5; question 3.3 is about alignment with the priorities of nations and their governments.)	See EQ1.
	3.2 Do UNICEF's priorities align with emerging priorities for education?		
	3.3 How well aligned are UNICEF's policy positions and outputs to regional and national priorities?		
Outputs & outcomes (impact to the extent feasible) Effectiveness	EQ4. What are the identifiable results of UNICEF's (shift towards) upstream work? Are there discernible patterns in these results?		
	4.1 .. in terms of UNICEF participation in global and regional education partnerships?	Start from inputs and activities broadly identified under EQ2. Classify identified results at output and outcome level (plus impact if applicable) in line with generic theory of change. Look for unintended results (positive/ negative). Note that results of work oriented towards influencing may include attitudinal change, discursive commitments, policy and legislative change, behavioural change, and procedural outcomes (implementation), reflected in policy changes, legislation, adoption of standards, resources allocated to education and educational results achieved etc. Analyse for: trends over time, and differences between country categories, inc: between UNICEF regions; between SWAp/non-SWAp and GPE/ non-GPE countries; fragile and conflict-affected states; countries by income level.	<i>Theory of Change.</i> <i>Literature review.</i> Documentation of major partnerships and their performance. Documentation of UNICEF activities and performance globally, in the 14 focus countries and in the 4 case study countries. Interviews.
	4.2 ... in terms of UNICEF activities at country level?		
	4.3 ... in terms of different Key Result Areas (KRAs)? viz: <ul style="list-style-type: none"> • Early Childhood Development (ECD) and school readiness; • Equitable access; • Quality and Child Friendly Schools; and • Education in Emergencies. (including "building back better") 		
	4.4 Have there been unintended results of UNICEF's shift towards upstream work?		



Table A2 (cont'd)

TOC level/ DAC criteria	Specific Questions and subquestions	Analysis/ judgment criteria	Main tools and principal sources of information
Inputs & activities/ Coherence	EQ5. How coherent have approaches to upstream work been within UNICEF?		
	5.1 Is there is a shared understanding of what constitutes 'upstream' work in BEGE? How well is it understood by Education programme staff at all levels?	cf. analysis under EQ2. Seek evidence of implementation and practical support (including training etc) as well as policy statements. Triangulate perceptions from different levels of UNICEF and with perceptions of external partners.	UNICEF documents. UNICEF interviews. Perspective of external interviewees.
	5.2 To what extent is there collaboration on upstream work across units at UNICEF HQ?		
	5.3 To what extent is there collaboration on upstream work across HQ, regional and country levels of UNICEF?		
	5.4 To what extent has relevant advice, methodological support and capacity development been provided between different levels and departments of UNICEF?		
Inputs & activities/ Coherence	EQ6. Has UNICEF's upstream work in education been coherent with that of major external partners?		
	6.1 Has UNICEF communicated clearly its upstream approaches and the policy positions it seeks to promote through upstream work?	Triangulate internal and external perceptions (from literature review and interviews). NB resources include financial resources, human resources, and intangibles such as UNICEF's prestige.	cf. stakeholder mapping under subquestion 1.1 Partnership documents. Key informant interviews (internal and external).
	6.2 Has there been effective coordination and has UNICEF's UWE been complementary with that of its principal UN and other international partners?		
	6.3 Have UNICEF's resources for upstream work been applied where they can make the most difference? (complementarity and comparative advantage)		



Table A2 (cont'd)

TOC level/ DAC criteria	Specific Questions and subquestions	Analysis/ judgment criteria	Main tools and principal sources of information
Results (outputs, outcomes, impact) Effectiveness & efficiency	EQ7. What factors account for the success (or not) of UNICEF's upstream work?		
	7.1 Has UNICEF allocated resources efficiently to upstream work?	Contribution analysis approach: first assess what changes occurred, then assess UNICEF's plausible contribution to the observed changes. Subquestions (including those linked to EQ6 and EQ5) imply hypotheses about potential contributing factors. Analysis to be applied to discrete elements of UWE – e.g. re major partnerships, campaigns, interventions and intervention types; this will facilitate comparisons (over time and between specific types and instances of interventions, and across the different categories listed under EQ4) in order to support judgements about what has worked better /less well.	<i>Theory of change.</i> Literature review to support plausibility of links in proposed results chains in practice. Relevant performance reports (with special attention to internal and external evaluations). Stakeholder perceptions. Findings and conclusions to be validated by Delphi survey.
	7.2 Have UNICEF's partners been willing to support and to fund UWE?		
	7.3 Has UNICEF been effective in dialogue with partners at different levels? How effective have global, regional and country partnerships been?		
7.4 Have UNICEF and its partners had the necessary capacities for effective upstream work? (cf. also EQ8)			
Results/ Sustainability	EQ8. To what extent is UNICEF's upstream work sustainable?		
	8.1 Are the results to date of UWE (cf. EQ4) likely to be sustained?	Commitment and resources of partner governments and other stakeholders to sustain policy improvements and their implementation.	Literature review and interviews. Special attention to relevant evaluations.
	8.2 Does UNICEF have/is it effectively developing the necessary capacities for continued upstream work?	Analyse with reference to current good practice guidance on capacity analysis and capacity development at individual, organizational and institutional levels.	UNICEF documentation on staff profiles, training activities and development of tools and guidance.
	8.3 Are appropriate capacities being developed amongst governments and other partners at country level?	Analyse with reference to current good practice guidance on capacity analysis and capacity development at individual, organizational and institutional levels.	Documentation and interviews at HQ, regional and case-country level.
	8.4 Does UNICEF have adequate mechanisms for monitoring its UWE and learning from experience?	Analyse with reference to current good practice guidance on results-based monitoring and the M&E of policy influence.	UNICEF documentation on results monitoring and decision-making processes.



TABLE A3

UNICEF evaluation themes and their coverage

Evaluation Objective/Theme	Evaluation Questions	in report section
Shared Definition		
<p>To articulate UNICEF's education upstream approach, examine the extent to which there is a shared understanding of this approach in education programming, and whether outcomes and pathways to achieving results in policy advocacy work are articulated clearly.</p>	<p>1.1 Is there is a shared understanding of what constitutes 'upstream' work in BEGE? How well is it understood by Education programme staff at all levels? To what extent are goals of upstream engagement in BEGE shared by national counterparts?</p>	Chapter 7
	<p>1.2 Is there a common approach (explicit or implied) or common principles of upstream engagement in BEGE that can be adapted to different contexts? What is the underlying theory of change (explicit or inferred)? Are desired outcomes stated clearly? Are there realistic pathways to achieving results?</p>	Chapter 7
	<p>1.3 To what extent has formal learning been applied to this area, and with what results?</p> <p>What tools, processes and approaches have been developed by countries to facilitate their upstream engagement? What good practices for linking upstream work to midstream or downstream work have been developed in BEGE programming?</p>	Chapter 3 Chapter 9
UNICEF Positioning		
<p>To identify and review approaches, principles, best practices and benchmarks in education policy development and other aspects of upstream engagement for comparison with UNICEF strategies and practices, relative to UNICEF's comparative advantage.</p>	<p>2.1 Who are the leading global players working upstream in education? What are their respective strengths/niches? Are there identifiable approaches, tools and practices and systems that they have in common? What challenges are they facing?</p>	Chapter 2
	<p>2.2 What differentiates UNICEF from other organizations that work upstream in education? What relative strengths does UNICEF bring to the global policy dialogue in comparison to other global actors? What does UNICEF gain from collaborating with external partners in education upstream work?</p>	Chapter 8
	<p>2.3 What critical lessons and/or good practices does UNICEF need to adopt in order to enhance its effectiveness, visibility and credibility in future education upstream work?</p>	Chapter 11 Chapter 12
	<p>2.4 What, if any, are the new priorities for upstream engagement in education for MTSP (2014–17)? Do these align with UNICEF's priorities (e.g. children's rights, equity, gender)? Is there significant divergence or misalignment between UNICEF's priorities and those of the global education development community?</p>	Chapter 2 Chapter 8



Table A3 (cont'd)

Evaluation Objective/Theme	Evaluation Questions	in report section
Building back better		
To examine UNICEF's performance in capitalizing on opportunities created by humanitarian crises to advance education policy development and advocacy, leverage resources for 'building back better' in order to strengthen education system response.	3.1 How well has UNICEF used its unique position in post-conflict countries to rebuild and transform the education sector? What are the strengths and weaknesses in the way that UNICEF engages and links upstream with downstream in post-conflict settings?	Box 4
	3.2 What "good practices" have been developed in emergency-conflict settings to link upstream and downstream work? What partnerships, capacities, and tools have enabled this work? In linking upstream and downstream work in emergency settings, what are gaps that persist?	Chapter 3, Box 4
	3.3 What improvements are necessary if UNICEF is to maintain its comparative advantage in working in upstream linked to downstream in post-conflict settings?	Chapter 11, Box 4
	3.4 What contribution has UNICEF made in the development of policies and guidelines in disaster planning, preparedness, and response, as they relate to education? To what extent has UNICEF advanced its agenda with respect to rights, equity, and gender through these vehicles?	Chapter 3, Box 4
External partnerships		
To examine whether UNICEF's engagement in different types of partnerships is strategic and credible, and whether UNICEF's partnership strategy contributes significantly to advancing education policy advocacy and education outcomes in countries of different typologies, including countries undertaking humanitarian programming.	4.1 What partnerships and mechanisms does UNICEF utilize to engage in BEGE upstream work? What aspects of BEGE upstream work were carried out through collaboration with key partners in education development? What proportion of BEGE upstream work do those constitute? What are the key results that were achieved through these partnerships and mechanisms?	Chapter 3 Chapter 4 Chapter 6
	4.2 What capacities has UNICEF strengthened through its engagement in key partnerships? What trade-offs were made to ensure that partnership arrangements work as intended? What risks were incurred?	Chapter 4 Chapter 6 Chapter 8
	4.3 How do partners view as UNICEF's contributions to the partnership? What is the most valuable asset that UNICEF brings into its collaboration with others? Do collaborators view UNICEF as a credible partner? What improvements are necessary?	Chapter 8
	4.4 Is UNICEF's involvement in key partnerships contributed to its efficiency and effectiveness of upstream strategies in various programming contexts (LDCs, MICs, education in emergency)? What improvements are necessary to enhance efficiency and effectiveness of upstream engagement efforts?	Chapter 6 Chapter 11



Table A3 (cont'd)

Evaluation Objective/Theme	Evaluation Questions	in report section
UNICEF-wide collaboration		
To determine the extent to which BEGE collaborates and coordinates internally with respective divisions, sections and offices in UNICEF to advance UNICEF's upstream agenda in education.	5.1 What aspects of BEGE upstream work and results were achieved through cross-sectoral collaboration with others in UNICEF? What proportion of BEGE upstream work do those constitute?	Chapter 7
	5.2 In what ways has upstream work carried out in a cross-sectoral framework achieved different or better results than work carried out by BEGE alone?	Chapter 7
	5.3 What gaps in BEGE's capacity were filled by taking a cross-sectoral approach? What challenges has the Education Section experienced working cross-sectorally?	Chapter 7
	5.4 In what way has cross-sectoral engagement been managed to enhance efficiency and effectiveness in achieving results?	Chapter 7
Capacity		
To identify core skills, tools, systems and institutional arrangements required for UNICEF's upstream education work, assess their adequacy, and evaluate efforts at building capacities of UNICEF education staff and key partners in government for future upstream engagement.	6.1 What are the key skills, tools, and systems required for effective engagement in education upstream work? What the required institutional arrangements and accountabilities?	Chapter 9
	6.2 To what extent has the BEGE's capacity building strategy taken into account the special skills and capacities that are required for effective advocacy with senior government officials?	Chapter 10
	6.3 How do current capacities of BEGE staff and programmes compare against repertoire of skills required for upstream engagement? What gaps exist between current capacity and required capacity? How well do the current capacity building strategies (Harvard Programme and other HR and operations initiatives) address these gaps?	Chapter 10
	6.4 Has UNICEF articulated the skills, tools and capacities to enable national counterparts to engage effectively in policy dialogue and other upstream activities? Are there corresponding capacity development/improvement plans for national counterparts?	Chapter 3



Evaluation process and implementation

The evaluation collected data in two phases at the global, regional and country level.

Phase 1 – Desk Review and inception

In the first desk-based inception phase – which ran from July 2013 to the end of August 2013 – a desk review of UNICEF upstream engagement was undertaken in 14 countries²⁵ selected by the UNICEF evaluation office across the seven UNICEF regions, as well as of its global and regional engagement. The data collected in this period were used to refine the evaluation methodology and prepare for the fieldwork phase. The desk phase concluded with a team workshop, attended by the Evaluation Manager, which analysed the findings to date, refined the theory of change, and developed the evaluation framework.

The approach to the inception phase was adequate to support the inception report (Mokoro Limited, 2013) and development of the evaluation instruments. However, covering 14 countries and seven regions within the inception period timeframe and within the overall available resources meant that only limited depth in literature review could be applied. The team utilized a standardized output format, which analysed data observations against countries, BEGE KRAs, and the categories of the evaluation theory of change and UNICEF evaluation themes, but the unit of analysis was not the countries or the regions as such. In retrospect, the resources for the inception phase could have been utilized better in selecting fewer countries and with more depth of documentary review. It would have yielded more information for the report writing phase. The team was however able to use the initial data collection to check subsequent findings, particularly after the second round of the Delphi survey was called off (see 0). Furthermore, global level

data collection in this phase fed into further data collection in the fieldwork phase, allowing fuller utilization of information collected in the inception phase. This was done both through fieldwork at UNICEF Headquarters in New York and through telephone interviews.

The decision on which countries would be selected as case studies was made after teams had been assigned to desk phase countries and regions, which meant that the match between consultants and countries did not always follow the desk phase assignment. However, having a larger team did assist in getting the breadth of literature reviews done within a short inception phase.

Phase 2 – Fieldwork

In the field-based data collection phase, as well as undertaking the country case studies, data collection at the regional and global levels continued through a series of semi-structured interviews with current and previous UNICEF staff, partners, funders and education experts. (See Table A4 for the full list of global and regional interviewees.)

The fieldwork phase started in mid-September with the pilot case study country, Afghanistan. The subsequent case studies were able to draw on the Afghanistan experience. The Afghanistan team utilized additional days on their allocation to visit the ROSA regional office, bolstering data collection on regional activities.

The fieldwork teams were in country for 10 working days, except Cambodia where the two international team members dove-tailed their time to provide a longer fieldwork period. The national consultants were of high quality and participated fully in the fieldwork and analysis.

²⁵ Afghanistan, Armenia, Bangladesh, Brazil, Cambodia, Malaysia, Morocco, Nicaragua, Sierra Leone, Sudan, Togo, Turkey, Zambia and Zimbabwe



TABLE A4

Global and regional interview respondents

Name	Affiliation	Date of interview
Mark Waltham	Senior Education Adviser, Programmes, UNICEF (KRA2 – Equitable Access)	7 August 2013 20 August 2013
Susan Durston	Associate Director Education UNICEF 2010 to 2012	15 August 2013
Colin Kirk	Director, Evaluation Office, UNICEF	19 August 2013
Kathleen Letshabo	Evaluation Specialist, UNICEF	1 July, 19 August 2013
Jo Bourne	Associate Director, Education (and Global Chief of Education, Programme Division), UNICEF	19 August 2013
Christian Salazar	Deputy Director, Programme Division, UNICEF	19 August 2013
Abhiyan Rana	Education Adviser, Programmes, UNICEF (KRA1 – School Readiness)	19 August 2013
Brenda Haiplik	Senior Education Adviser, Programmes, UNICEF (KRA4 – Education in Emergencies),	19 August 2013
Pia Rebello Britto	Senior Advisor, Early Childhood Development, Programmes, UNICEF	20 August 2013
Dr Oliver Petrovic	Early Childhood Development Specialist, Early Childhood Development, Programmes, UNICEF	20 August 2013
Craig McClure	Chief of HIV/AIDS, Programme Division, UNICEF	20 August 2013
Dr Chewe Luo	Senior HIV/AIDS Adviser, UNICEF	20 August 2013
Dr Susan Kasedde	Senior Specialist, HIV Prevention, UNICEF	20 August 2013
Priscilla Idele	Senior Advisor, Statistics & Monitoring (HIV/AIDS), UNICEF	20 August 2013
Jeffrey O'Malley	Director, Division of Policy & Strategy, UNICEF	20 August 2013
Nora Fyles	Head of UNGEI Secretariat, UNGEI	20 August 2013
Aarti Saihjee	Senior Education Adviser, UNICEF	20 August 2013
Akhil Iyer	Deputy Director, Office of Emergency Programmes, UNICEF	20 August 2013
Changu Mannathoko	Senior Education Adviser, Programmes, UNICEF (KRA3 – Quality)	2 and 21 August 2013
Sam Momanyi	Chief Programme Information & Performance Monitoring, Division of Policy & Practice, UNICEF	21 August 2013
Geeta Rao-Gupta	Deputy Executive Director (Programmes), UNICEF	21 August 2013
Richard Morgan	Previous Director Policy and Strategy, now special advisor to the Executive Director	27 August 2013
Susan Bissell	Chief of Child Protection, Programme Division	5 September 2013
Carol Bellamy	Former Executive Director UNICEF, former Chair of the GPE Board	18 October 2013



Table A4 (cont'd)

Name	Affiliation	Date of interview
Itai Madamombe	UN Global Advisor on Education, Secretary General's Office	21 October 2013
Jordan Naidoo	Senior Education Advisor UNICEF	22 October 2013
Ana Lucia D'Emilio	REA, TACRO, UNICEF	23 October 2013
Cream Wright	Previously Global Chief of Education UNICEF	24 October 2013
Lori Heninger	Director of the Inter-Agency Network for Education in Emergencies (INEE),	25 October 2013
Maida Pasic	Education Advisor Headquarters UNICEF	30 October 2013
Philippe Testot-Ferry	REA, CEE/CIS, UNESCO	11 November 2013
Vigdis Cristofoli	Senior Advisor, Education Section, Norad	11 November 2013
Yumiko Yokozeki	REA, WCARO, UNICEF	11 November 2013
Birger Fredriksen	Previous Director Human Development Department World Bank	12 November 2013
Diya Nijhowne	Director Global Coalition to Protect Education from attack	12 November 2013
Mathieu Brossard	Education Advisor Headquarters UNICEF	13 November 2013
Zephorah Weru		
Ramou Ndure	HR Specialists, UNICEF	14 November 2013
Olav Seim	Director ED/EFA. UNESCO	15 November 2013
Harry Patrinos	Manager Education: Human Development Network World Bank	25 November 2013
Maki Hayashikawa	Chief Section for Basic Education UNESCO	26 November 2013
Margarita Licht	GPE Secretariat Senior Education Specialist	13 December 2013
Olav Christensen	Public Finance Specialist, Education, Human Development Network World Bank	13 December 2013
Alexandra Yuster	Associate Director Division of Strategy and Planning, Global Chief, Social Inclusion, Policy and Budgeting, UNICEF	8 January 2014
Jingqing Chai	Advisor, Social Inclusion, Policy and Budgeting, UNICEF	8 January 2014



Data were validated at the capture level, whether sub-country, country, regional or global. A variety of data collection methods were used, depending on the country context and the mini-cases selected, and were guided by the evaluation framework. The validity of findings and conclusions drawn from the country case studies for the overall evaluation was checked through a global survey (see 0 for the survey methodology and data).

Phase 3 – Analysis, validation of findings and report writing

The analysis phase started with a second team workshop in Oxford at the end of October, within a week of completion of the last field visit. For the workshop, country fieldwork teams prepared evaluation matrices, which summarized findings, conclusions, and lessons and recommendations, according to the evaluation framework. Over the two-day workshop the evidence was discussed, weighed, analysed and synthesized, resulting in an evaluation brief which was submitted to the Evaluation Manager, together with a draft modified Delphi survey, on 5 November 2013.

The team analysed the findings and compiled a report for the Evaluation Manager with a draft second survey. However, the team argued that the high levels of consensus in the first survey and likelihood of low response rates in a second survey of the same target respondents put the value of a second survey in doubt. Given that the UNICEF respondents had already expressed unhappiness with the length of the survey and in some cases had issues with submitting it on-line, the decision was taken not to distribute the second survey, but to follow alternative strategies for further data validation. These included utilizing the database compiled in the inception period, posing specific questions to selected interview respondents or relying on existing data and analysis, where this was sufficiently robust. The alternative strategies were discussed with the Evaluation Manager, agreed and implemented.

The country case study reports were completed, quality assessed through the Mokoro panel, and submitted to UNICEF on the 4th, 9th, 12th and 16th of December.

For the synthesis report the team leader coded the data from the case studies, global and regional literature reviews, and global and regional interviews using a coding system by country, evaluation criterion, types of upstream work in education (UWE) outputs and upstream impacts, and selected evaluation themes not coherently covered by any of the other categories. Supporting analyses of the survey Likert scale and text data, as well as other analyses were undertaken by the team feeding into the synthesis report.

This draft synthesis report was submitted on the 23rd of December, incorporating a first round of comments from the Quality Assessment Panel. This version incorporates a full set of comments by the Quality Assessment Panel, and initial comments from the UNICEF Evaluation Office.

Limitations

The limited period in country meant that the country teams were not able to exhaust their data collection lists. The context of Afghanistan also meant that the team was not able to travel outside of Kabul, limiting their data collection somewhat. Nevertheless, the country teams reported being able to collect most of the data required: where data were not available or they could not source data in time, these areas are noted in their reports. Key difficulties included sourcing primary documentation such as job descriptions and financial data from UNICEF: the job descriptions were later sourced from Headquarters. It was not possible to obtain any financial data other than what was sourced during the visit to New York.

Almost all the desired interviews at global and regional level were, eventually, obtained (Table A4).



While the UNICEF programmatic shift is being reviewed at three levels (global, regional and country-based), the findings of the research necessarily reflect, to a degree, the particular countries and regions selected as case studies. This has been mitigated to some extent, a) by using a sampling process to select the countries, b) by having a larger number of desk-based country case studies, and c) by the use of a Delphi survey that was submitted to a wider audience, but there remains a risk that the findings are unduly affected by the choice of countries. On the other hand, the in-depth review of mini-cases gives confidence that their findings are robust in themselves; they may not be comprehensive, but they provide valid insights into what makes upstream work effective (or not).

The long time period to be evaluated, 2003–2012, raised the risk of not accessing respondents and information on the early years, particularly in countries which have a high staff turnover rate. At the country level, teams were not successful in connecting to earlier post incumbents. At the global level the team was more successful, speaking to previous UNICEF global education chiefs as well as representatives from UNICEF's major partners. Teams did source some data on the earlier period though, as is evidenced by the case studies, but have qualified their findings appropriately.



ANNEX 3

SURVEY METHODOLOGY AND DATA

Introduction

This annex provides details on the survey, including the methodology and results obtained.

The survey took the form of a modified Delphi survey whereby experts consulted were able not only to respond to the questions themselves but also provide a rationale for their response. The survey was distributed via email with options to fill in a web-based form or a PDF. The PDF was distributed with the third reminder to complete the survey, as the form could not be saved partially completed and it became clear that some respondents were having difficulty completing the web-based survey in one sitting.

The survey was useful for drawing upon a range of expert opinion from geographically diverse settings. It also allowed for people to express opinions with an assurance of anonymity, which can promote frank assessment and disinhibit people from following an agreed line, or from being overly influenced by group dynamics and the opinions of those in authority. The survey's primary purpose was to validate the preliminary findings.

Originally, it was intended that there should be two or more rounds of the survey, which would have allowed people to modify their initial answers based upon a summary of the responses received in the first round. However, the first survey achieved a good response rate, and for the majority of the questions there was a good level of consensus within the responses. In discussion with the UNICEF Evaluation Department, and also taking into account the time required to complete the survey, it was decided that a second round would most likely

have a very low response rate and would not add sufficient value to merit the additional time asked of respondents, particularly UNICEF respondents.

Background information on respondents

The survey was sent to a list of people agreed between Mokoro and UNICEF Evaluation Department. This list included UNICEF respondents as follows:

- All Headquarters and regional Education Advisors, and Chiefs of Education at country level;
- 21 deputy country representatives were invited, two countries per region, as well as the deputy representatives from the desk phase countries;
- Social policy advisors from Headquarters, regional and country level;
- All interview respondents not included in the groups above.

A sample of education experts from outside of UNICEF were invited to participate, including from development partners, UNESCO, civil society organizations and research institutions. The sampling strategy was intensity sampling, combined with maximum variation. In total, 93 responses were received within 48 hours of the deadline, representing a response rate of 28 per cent. Details of the backgrounds of respondents are given in 0 below.



TABLE A5 Survey Respondents

	Number	%
What organisation do you work for?		
A civil society organisation, interest group or professional association / network	7	8%
A multi or bilateral development partner	13	14%
Another UN Agency	3	3%
NGO	1	1%
UNICEF	69	74%
Total	93	100%
For respondents who selected: "A multi or bilateral development partner" above:		
Does your organisation fund UNICEF?		
Yes	9	69%
No	4	31%
For respondents who selected: "UNICEF" above:		
Please indicate whether you are		
Working in Education (Focus Area 2, includes Education Officers, Education Chiefs and Education Advisors)	47	71%
Leadership (Headquarters, Regional and Country level)	11	17%
Working in Social Policy (Focus Area 5)	6	9%
Working in any other section of UNICEF	2	3%
Do you work at the global, regional or country level? Please select the option below that describes the focus of your work best.		
Global	15	16%
Regional	4	4%
Country	74	80%
For respondents who selected: "Country":		
Please tell us on which country you are working?		
Lower Income Country	33	53%
Middle Income Country	29	47%
Respondents at country and regional level who indicated familiarity with emergency contexts		
Yes	51	55%
No	42	45%



Issues tested

The survey was created to validate and affirm generalizability of findings of the case studies. To some extent, questions were tailored to the respondent; for example, staff working at country level were given subtly different questions to those working at regional or global level, in order to draw on the specific experience at their current duty station of the former, and the more general experience of the latter. In addition, two questions were only asked of UNICEF staff and one question of non-UNICEF staff only.

The rationale for the survey questions is given in Table A6 showing which evaluation questions (EQs) each question addressed. This shows the theme of the question rather than the specifics. All EQs were addressed to some extent, but EQs dealing with activities and results were of particular importance for this exercise.

Data cleaning and analysis

The majority of the surveys received required little cleaning – an advantage of using a web-based survey system. However, a limited number of respondents used PDF forms which required manual input, and several responses were received in French and Spanish which required translation prior to being added to the main database.

In question 6 on Unintended Consequences, there was no option for “None of the above”. Seven respondents commented that they had not observed any of the consequences listed but had been obliged to tick one option in order to continue the survey. For these respondents, their selection for question 6 was removed.

For each question, the aggregate results (see following section) and the qualitative reasoning given was carefully considered. For many questions, the aggregate results were broken down in order to view the results by the background of the respondent; for example, the results

were disaggregated by where the respondent worked (the principal comparison was between UNICEF and non-UNICEF staff); the differences in responses between people working at a country level and people working more broadly were also considered; for those working at country level, whether they worked in a Lower-Income Country or Middle-Income Country was also considered.

Survey results

A full summary of the quantitative results of the survey is given below. In the survey, there was often a distinction made between country-level respondents and other respondents. Thus, for questions 1–6 and question 9, respondents working at country level were asked about their specific country, whereas those working at global or regional level were asked about any country in their experience. This allowed us to draw solid examples at a country level, sometimes cross-referencing our own research.

Table A6 provides an overview of all the questions in the survey and the corresponding EQs to which each relates, as well as some comments on the relevance of the evidence each question is expected to provide. The section which follows presents some key findings emerging from the survey results. Throughout the main report some key findings from the survey have been highlighted and used as a rich source of wider evidence; however, more detail is provided in the discussion below.

Types of upstream work undertaken

Question 1 of the survey (Table A6) seeks to identify the types of upstream work encountered by respondents, whilst also building a picture of perceptions of what constitutes upstream work. The types of upstream work can be broadly divided into four categories, which are set alongside with the survey options, and proportion of respondents by option in Table A7.



TABLE A6 Issues Tested

	EQ1	EQ2	EQ3	EQ4	EQ5	EQ6	EQ7	EQ8	Comments
	What has been the context for UNICEF's education work?	What upstream work has UNICEF undertaken?	How relevant has UNICEF's (approach to) upstream work been?	What are the identifiable results of UNICEF's (shift towards) upstream work? Are there discernible patterns in these results?	How coherent have approaches to upstream work been within UNICEF?	Has UNICEF's upstream work been coherent with that of major external partners?	What factor's account for the success (or not) of UNICEF's upstream work?	To what extent is UNICEF's upstream work sustainable?	
Question 1: What activities has UNICEF undertaken?	X		X						<ul style="list-style-type: none"> Provides evidence for the existence of a shared definition of upstream Checks completeness of list of upstream activities (space given to add further activities) Gives an indication of which activities are the most common
Question 2: Significance of UNICEF role upstream at different levels / types of countries		X	X						UNICEF's role at global / regional / country level and in different types of country, to obtain granularity in findings
Question 3: Upstream results obtained by UNICEF			X						Gathers further evidence on results obtained by UNICEF in upstream work
Question 4: Factors that contributed to results						X			Wider evidence on reasons for success
Question 5: Factors that hampered results						X			Wider evidence on reasons for lack of success
Question 6: Unintended consequences			X						Further evidence of an important aspect of results - the sometimes negative unintended consequences
Question 7: Expansion in UNICEF's upstream work at various levels	X	X	X						Evidence of activities and results at different levels (global, regional, country)
Question 8: UNICEF rationale for shift to upstream work	X	X							Context and rationale for the shift to upstream work
Question 9: Coherence and collaboration				X	X				Tests findings for both internal and external collaboration
Question 10 (UNICEF respondents): Presence and quality of strategic and M&E mechanisms to support upstream work							X		Sustainability: strategy and M&E
Question 10 (non-UNICEF respondents): UNICEF contribution to partnerships					X				Collaboration with external partners, and evidence of UNICEF's positioning
Question 11: Efficiency of resource use							X		Sustainability: efficiency
Question 12 (UNICEF Education only): UNICEF's internal collaboration				X					Evidence of internal collaboration within UNICEF Education



TABLE A7

Types and incidence of UNICEF upstream work

Category	Type of upstream work	% of survey respondents who did not select "I do not consider this an upstream activity)			% of total respondents not considering it an upstream activity
		Frequently	Sometimes	Never	
Work on policies, standards and strategy development Weighted average across types: Frequently: 55% Sometimes: 35%	Advocacy for a UNICEF approach or model, like Child Friendly Schools.	71%	24%	1%	4%
	Adoption of UNICEF developed standards, such as for early childhood education.	65%	29%	3%	2%
	Supporting the development of education sector plans and policies.	59%	35%	5%	1%
	Working on education sector budgets, either by directly advocating with gov, or undertaking budget analysis/supporting local organisations to undertake budget analysis in the education sector.	26%	50%	24%	0%
Work on providing or strengthening evidence Weighted ave. across types: Frequently: 40% Sometimes: 53%	Generating evidence of what works, through studies or piloting/delivering education sector services.	50%	47%	2%	1%
	Providing support for education system data, such as the education management information systems.	39%	52%	9%	2%
	Undertaking diagnostic studies of the education system.	30%	59%	10%	1%
Sector coordination and leadership Weighted average across types: Frequently: 49% Sometimes: 35%	Acting as an intermediary when dialogue is not occurring and/or trying to open up space for dialogue on sensitive or controversial issues in education in the country.	51%	37%	10%	2%
	Leading national education sector groups and processes, such as local education sector groups, SWApS.	57%	32%	10%	2%
	Participating in, but not leading, local education sector groups and processes, such as sector working groups, sector-wide approaches.	53%	41%	2%	3%
	Supervising, managing and/or coordinating education sector funds, such as FTI/GPE funds or pooled funds.	35%	30%	30%	4%
Strengthening sector capacity Weighted average across types: Frequently: 38% Sometimes: 50%	Supporting curriculum development	38%	50%	9%	3%
	Activities to build the management capacity of the education sector, for example public financial management, human resource management, and/or leadership capacity.	38%	45%	16%	1%
	Activities to build the technical capacity of the education sector, for example planning and monitoring and evaluation skills and systems.	51%	39%	9%	1%
	Trying to build the training capacity of the education sector, such as through the establishment of training courses.	50%	35%	12%	3%
	Supporting incentive schemes to improve school performance.	16%	38%	36%	10%



Key findings from this analysis are:

- More respondents thought UNICEF undertook work frequently on policies, standards and strategy development in education – particularly advocacy for a UNICEF approach or model like CFS and adoption of UNICEF developed standards – than any other type of upstream activity. This relates well to the targeting of these activities in UNICEF's strategic plan, set out above.
- Besides supporting incentive schemes to improve school performance (an activity observed in Brazil in the fieldwork), the type of work least often thought to be undertaken frequently is working on education sector budgets.
- As a group, work on policies, standards and strategy development was frequently observed by the most respondents on average, while sector strengthening work was thought the least often to occur frequently. Noteworthy is that non-UNICEF respondents were particularly unfamiliar with

UNICEF undertaking work in this category, with 24 per cent of non-UNICEF respondents selecting 'never' across the types of work in the category.

When the results are disaggregated by the income level of countries where respondents are based, in terms of being either lower-income (LIC) or middle-income (MIC), opinions of the top five most frequent upstream work activities diverged somewhat between LIC and MIC respondents. This would reflect the differing nature of upstream work to be done and the role UNICEF plays in LICs and MICs.

When responses from respondents with familiarity with UNICEF's work in emergency responses were analysed, it was seen that respondents most frequently selected 'frequent' across categories of work for sector coordination and leadership (59 per cent across types) and work to develop strategies, policies and standards (also 59 per cent across types). As signalled above, The largest differential between average responses by type of respondent was registered for sector coordination and

TABLE A8 Five activities most often selected as 'frequent' by country income level

LIC Respondents	MIC Respondents
1. Advocacy for a UNICEF approach or model, like Child Friendly Schools. (81%)	Trying to build the training capacity of the education sector, such as through the establishment of training courses. (72%)
2. Adoption of UNICEF developed standards, such as for early childhood education. (81%)	Adoption of UNICEF developed standards, such as for early childhood education. (69%)
3. Supporting the development of education sector plans. (75%)	Generating evidence of what works, through studies or piloting/delivering education sector services. (69%)
4. Leading national education sector groups and processes, such as local education sector groups, sector-wide approaches. (66%)	Advocacy for a UNICEF approach or model, like Child Friendly Schools. (62%)
5. Participating in, but not leading, local education sector groups and processes, such as sector working groups, sector-wide approaches. (66%)	Activities to build the technical capacity of the education sector, for example planning and monitoring and evaluation skills and systems. (59%)



leadership work, where on average 59 per cent of emergency context-linked respondents indicated that UNICEF undertook this category of work frequently, whereas only 29 per cent of non-emergency context-linked respondents responded similarly.

Recognition of UNICEF as a critical partner

Question 2 of the survey aimed at to test the generalisability of evidence on UNICEF's role at different levels and in different contexts. The results are summarized in Table A9.

Across levels there is significant agreement that UNICEF was a critical upstream actor in the education sector. Given that most of the respondents were country-based where their knowledge of UNICEF's engagement would be significant, it is telling that the highest proportion of 'agree' answers (discarding the 'I don't

know' answers) was against the statement "UNICEF was often a critical actor in upstream engagement in my current duty station" at 85 per cent . Furthermore, 82 per cent agreed that UNICEF was a critical actor in emergency and post-conflict contexts; 77 per cent at global level; 75 per cent in low-income countries; 66 per cent at regional level and 63 per cent in middle-income countries, discarding the 'I don't know' answers.

Table A10 sets out the reasons cited for UNICEF's critical role at each level and each context. Common reasons cited across levels and contexts for 'agree' answers are UNICEF's approach of working with government, its sector coordination role, its role in mobilizing resources, its continued presence in countries, and its role in global partnerships such as GPE. These findings tie up well with findings elsewhere on factors that support UNICEF's upstream role as discussed in Section III.

TABLE A9

Question 2: Summary of Results

Question 2: Considering what you know about UNICEF's engagement at the global, regional or country level, please indicate whether you agree or disagree with the following statements:				
	Agree	Disagree	I don't know	Neutral
UNICEF was a critical upstream actor at the global level in the education sector between 2003-2012	64	6	9	13
UNICEF was often a critical upstream actor at the regional level in the education sector between 2003 and 2012	46	3	23	20
UNICEF was often a critical upstream actor in the education sector in emergency, post-conflict and/ or fragile countries between 2003 and 2012	59	2	20	11
UNICEF was often a critical upstream actor in the education sector in low income countries other than emergency and post-conflict countries between 2003 and 2012	56	3	18	15
UNICEF was often a critical upstream actor in the education sector in middle-income countries other than emergency and post-conflict countries between 2003 and 2012	42	4	26	20
UNICEF was often a critical upstream actor in the education sector in my current duty station between 2003 and 2012	63	4	3	7



TABLE A10 Reasons for agreeing that UNICEF is a critical actor in upstream work

Context	Reasons
Global	Respondents cited UNICEF's global initiatives launched, such as the 'out of school children's initiative' (16 times) and its role in FTI/GPE (15 times) most frequently as reasons for agreeing that UNICEF's is a critical actor. Other reasons referred to its role in education in fragile states (9 times), its connection with UNGEI (7 times), Child Friendly Schools (9 times), role in EFA and MDG goals (4 times) and country / global coverage (2 times) as contributing reasons.
Regional	The role of regional offices in promoting upstream work and advocating for education was most often cited as a reason for agreeing to the statement (11 times), with their vision and support for UWE at country office level cited 7 times. Work with regional bodies, regional conferences and regional studies together were cited 14 times.
Fragile contexts	Respondents most often cited UNICEF's cluster coordination role (13 times), followed by its support to governments' emergency preparedness and response (9 times), and its presence (9 times). The role it plays in advocacy was deemed important (8 times), with its role in mobilizing emergency resources (5 times) and in GPE in fragile states (3 times) also receiving mentions.
Low income countries	In low income countries respondents cited that UNICEF works with government (8 times), that it is part of programmatic approaches (7 times), is focused on the equity agenda (5 times) most often. Other reasons that got a mention are that it is present, plays a role in coordination (2 times each) and is part of GPE (3 times).
Middle income countries	In middle-income countries respondents highlighted the nature of UNICEF's work as being upstream in MICs (13 times), and that it is able to fulfil a critical role despite lacking resources in MICs (6 times) and the challenging environment (2 times). Its continued presence in MICs were cited (4 times), and that it is influential in new MICs (2 times)
Current duty station	Respondents most often highlighted ways in which UNICEF has influenced government policy as the reason for agreeing to the statement (22 times), as well as its approach of working closely with government (13 times). Its sector leadership and helping to access funding (7 times each), were followed by it providing evidence (4) and contributing to results (4 times).

TABLE A11 Question 3: Summary of Results

Question 3: In your experience, what results were realised from UNICEF's upstream engagement in education at the country level in your current country in the period 2003 to 2012?				
	I don't know	Never	Substantial results	Very little progress
UNICEF has raised the awareness of key national actors and partners on key issues related to children's rights in education	1	0	78	13
UNICEF has a voice in national education sector groups and/or processes, such as sector working groups, sector-wide approaches	4	0	79	7
UNICEF has successfully acted as an intermediary and/or opened up space for dialogue on sensitive or controversial issues in the education sector	8	1	64	16
In line with UNICEF advocacy government actors have publicly voiced their support for or intent to effect policy, budget or practice changes	5	1	66	19



Table A11 (cont'd)

	I don't know	Never	Substantial results	Very little progress
UNICEF approaches, models or standards have been adopted as official government policy	7	1	56	27
UNICEF's work has led to other changes in government's official policy, besides the adoption of UNICEF approaches, models or standards	11	1	51	28
UNICEF has influenced changes in the legal framework for education in the country	14	9	36	28
UNICEF has facilitated increased external financing to the education sector	8	4	45	23
The education sector national budget has increased due to UNICEF's advocacy and other forms of upstream work	11	9	30	30

Types of results achieved by UWE

Question 3 sought to confirm/not the different types of results realized from UNICEF's upstream engagement at the country level.

Results are set out in Table A11 and compared against country case study findings in Table A12.

TABLE A12

Types of results achieved as evidenced by fieldwork and survey

Upstream impact category	Upstream impact type	'Substantial' responses
Attitudinal change On average 89% 'substantial responses'	UNICEF raised the awareness of key national actors and partners on key issues related to children's rights in education (Brazil (equity, quality), Afghanistan (girls' education), Cambodia (exclusion of minorities, ECD), Zimbabwe (systemic crisis affecting right to education), global respondents)	86%
	UNICEF has a voice in national education sector groups and/or processes, such as sector working groups, sector-wide approaches (Afghanistan (SE for GPE), Cambodia (local education group), Zimbabwe (local education group), global respondents)	92%
Discursive commitments On average 77% 'substantial' responses	In line with UNICEF advocacy, government actors have publicly voiced their support for or intent to effect policy, budget or practice changes (Brazil (support for literacy at the right age), Zimbabwe (support for CFS), Cambodia (support for ECE), global respondents)	77%



Table A12 (cont'd)

Upstream impact category	Upstream impact type	'Substantial' responses
Policy content and legislative change On average 60% 'substantial responses'	UNICEF approaches, models or standards have been adopted as official government policy in Cambodia (e.g. CFS and ECE), Afghanistan (e.g. CBE, CFS), Zimbabwe (e.g. CFS, ECE) and Brazil (CFS, although not officially named as such). This result is also evident from UNICEF's global thematic reporting and voiced by global respondents.	76%
	UNICEF's work has led to other changes in government's official policy, besides the adoption of UNICEF approaches, models or standards (Afghanistan (e.g. school construction), Brazil (e.g. school age extended to 4–17 years; addressing racial inequality in BEGE), Cambodia (e.g. bilingual education)	64%
	UNICEF has influenced changes in the legal framework for education in the country (Brazil (constitutional change to extend school age), global respondents)	50%
Procedural change On average 78% 'substantial' responses	UNICEF has successfully acted as an intermediary and/or opened up space for dialogue on sensitive or controversial issues in the education sector (Brazil (bringing NGOs into policy space), Zimbabwe (opening up dialogue space that had closed down), Cambodia (forums and working groups for ECE), global respondents)	78%
Behavioural change, including changes in financing, implementation and capacity On average 52% substantial responses	UNICEF has facilitated increased external financing to the education sector (Afghanistan (GPE), Zimbabwe (ETF)).	63%
	The education sector national budget has increased owing to UNICEF's advocacy and other forms of upstream work (Brazil, growth in municipal education budgets for programme; more federal and state funds to local municipalities in SELO programme)	43%
	The distribution of available resources to education has changed because of UNICEF's advocacy and other forms of upstream work (allocation of funding for BE in Cambodia)	48%
	The quantity and/or quality of education sector data has improved because of UNICEF's advocacy and other forms of upstream work (Zimbabwe (EMIS), Cambodia (EMIS), Afghanistan (EMIS), Brazil (analysis of existing data and OSCI), global correspondents (OSCI))	52%
	Sector management is improved, for example, public financial management, human resource management, and/or leadership, owing to UNICEF's advocacy and other forms of upstream work (Afghanistan, (support to procurement and other capacity, although sustainability of such capacity not clear; Brazil (capacity for education management at municipal level); Cambodia (national and subnational sector management capacity); global respondents)	30%
	Sector technical skills have improved, such as planning, analysis and monitoring and evaluation, owing to UNICEF's advocacy and other forms of upstream work (Brazil at municipal level, EMIS and planning in Cambodia, planning in Afghanistan)	55%
	More teachers/staff are trained and/or the quality of teacher training is improved because of UNICEF's upstream work (note this does not include financing the training of individual teachers or staff, Cambodia (support for ECE training capacity), Afghanistan (support for women teachers' capacity), Brazil (training capacity as result of programmes) global respondents e.g. formal training for CFS set up)	69%



Key findings are:

- More respondents indicated that they had seen substantial results on average across upstream impact types for the “Attitudinal change” category of results than for the other categories, with the highest results for the upstream impact of UNICEF having a voice in national education sector groups or processes (at 92 per cent of respondents) falling in this category. Interestingly, not a single respondent indicated that they had ‘never’ seen results in the attitudinal change category and result types. Also, the significance of the high consensus on UNICEF’s voice in local education groups should not be underestimated: interview evidence points strongly to this not having been the case in the early years of sector-coordinated engagement between government and donors, when UNICEF was often excluded as it did not contribute much to basket funding facilities associated with these sector groups.
- On average the fewest respondents indicated that they had seen substantial results for the ‘behavioural change’ category; at the same time the highest average of respondents indicated that they had ‘never’ seen results in this category (6 per cent). The category includes the type of result which was labelled “substantial” least often, namely change in education sector management capacity. Other types of results with a low proportion of ‘substantial’ results in this category are the two that refer to education sector budget work, namely changes in the total volume of national resources available, and the distribution of resources. These also attracted the highest ‘never’ responses at 13 per cent and 7 per cent respectively. Other high ‘never’ responses were in relation to influencing legal framework changes (13 per cent), and changing sector management capacity (9 per cent).

- If attitudinal change (89 per cent ‘substantial’ responses), discursive commitments (77 per cent ‘substantial’ responses), policy content and legislative changes (60 per cent ‘substantial’ responses) and behavioural changes (behavioural change 52 per cent ‘substantial’ responses) are seen as a hierarchy of results, with behavioural changes most likely to result in BEGE equity, quality, access etc impacts, the survey evidence suggests that UNICEF is more successful in the early stages of upstream influence than in the later stages. This corresponds with results on UNICEF inputs, which indicated that UNICEF is most likely to undertake work on standards, strategies and policies and least likely to undertake work aimed at capacity building.

When the responses (discarding “I don’t know” and “UNICEF has not tried to achieve this result” responses) are analysed by country income group for the respondents who indicated the country in which they are working, the groupings show no divergence from the findings for all respondents for ‘substantial’ results, and for ‘very little progress’ and results ‘never’ achieved.

Results however that were marked far more frequently as substantial for middle-income compared to low-income countries are other changes in government policy besides UNICEF approaches and models (which had low frequency among low-income country respondents) and the improvement in education sector data (which also appears in the low frequency list for low-income country respondents). On the other hand, increased external financing to the education sector was selected for being a substantial result in low-income countries far more often than in middle-income countries (as well as technical skill improvement, see Table A13).



TABLE A13 Differences between MIC & LIC responses regarding results achieved

Highest proportion of “substantial” responses		Highest proportion of “very little progress” and “never” responses	
MIC	LIC	MIC	LIC
UNICEF has a voice in national education sector groups and/or processes (93%)	UNICEF has a voice in national education sector groups and/or processes (97%)	Sector management is improved, for example, public financial management, human resource management, leadership (62%)	Sector management is improved, for example, public financial management, human resource management, leadership (63%)
UNICEF has raised the awareness of key national actors and partners on key issues related to children's rights in education (90%)	Increased external financing to the education sector (85%)	Sector technical skills have improved, such as planning, analysis and monitoring and evaluation (56%)	The education sector national budget has increased (57%)
UNICEF has successfully acted as an intermediary and/or opened up space for dialogue on sensitive or controversial issues in the education sector (83%)	UNICEF has raised the awareness of key national actors and partners on key issues related to children's rights in education (84%)	The distribution of available resources to education has changed (52%)	Other changes in government's official policy, besides the adoption of UNICEF approaches, models or standards (50%)
The quantity and/or quality of education sector data has improved (78%)	UNICEF has successfully acted as an intermediary and/or opened up space for dialogue on sensitive or controversial issues in the education sector (81%)	More teachers/staff are trained and/or the quality of teacher training is improved (52%)	The quantity and/or quality of education sector data has improved (48%)
Government actors have publicly voiced their support for or intent to effect policy, budget or practice changes; other policy changes besides UNICEF approaches, models or standards (77%)	UNICEF approaches, models or standards have been adopted as official government policy (71%)	UNICEF has facilitated increased external financing to the education sector (50%)	The distribution of available resources to education has changed; changes in the legal framework (46%)

Country respondents who are in emergency or conflict-afflicted countries and regional respondents who have such countries in their region also most frequently selected “UNICEF has a voice in national education sector groups” as having been a “substantial” result (94 per cent), followed by raised awareness of national actors and partners (86 per cent), and support or commitment by government actors to change

policy, budget or practice in line with UNICEF upstream work (79 per cent). UNICEF’s role as an intermediary also was deemed successful (76 per cent), and facilitation of external financing to the sector (74 per cent). Changes in policy, whether UNICEF’s or other policies, were next (69 per cent). The results most often selected as having very little or no progress were changes in sector management skills and changes in



national budgetary volumes or distribution. Interestingly, the improvement of sector technical skills (planning, monitoring and evaluation) was deemed by 66 per cent of respondents to have been a “substantial” result, not too different than for low-income countries (63 per cent) but significantly different to middle-income countries (44 per cent).

Factors accounting for results

The survey tested fieldwork findings regarding the various factors considered to have a positive bearing on UWE results (question 4), and those considered to hamper results (question 5). A summary of the responses is provided in Table A14 and Table A15.

TABLE A14 Question 4: Summary of Results

Question 4: Which factors have accounted for the results of UNICEF's upstream work in education in your current country?				
	Not a factor	Low Importance	Moderate Importance	Very Important
UNICEF has a long history in country	3	5	20	65
UNICEF has a country-wide presence	14	10	23	46
UNICEF undertakes work on the ground and/or understands practical issues and/or the country context	3	3	10	77
UNICEF undertakes work on the ground and understands the country context	3	4	12	74
UNICEF works in other sectors and can offer insights that cut across sectors	4	5	29	55
UNICEF spans humanitarian work and development work	10	10	24	49
UNICEF is the only or one of few international organisations in the education sector with staff in country	24	4	21	44
UNICEF is trusted and/or seen as neutral by government	6	3	7	77
UNICEF is trusted by partners other than government	5	2	19	67

TABLE A15 Question 5: Summary of Results

Question 5: In your experience, for your current country, what factors have hampered UNICEF's results in education and how important are different factors?				
	Not a factor	Low Importance	Moderate Importance	Very Important
Government has no or little interest in partnerships in upstream work	28	24	26	15
UNICEF is squeezed out by other international partners as they bring better skills to the table	38	27	20	8
UNICEF is squeezed out by other international partners as they bring more money to the table	28	17	30	18

**Table A15** (cont'd)

	Not a factor	Low Importance	Moderate Importance	Very Important
Quick turnover of UNICEF international staff means that relationships are not built and/or sustained	23	31	24	15
UNICEF national staff is not trained for upstream work	24	11	34	24
Between 2003 and 2012 the UNICEF country office leadership has not prioritised upstream work	41	18	21	13
Between 2003 and 2012 UNICEF education section has not prioritized upstream work	43	19	20	11
UNICEF country offices do not have enough staff to undertake upstream work in education in addition to other responsibilities	28	13	27	25
UNICEF country offices do not have upstream technical policy and analytical skills required	30	16	24	23

A common refrain in the country case studies is that UNICEF is able to effectively engage government – often more so than some of its key global partners – because it is trusted, is perceived as neutral, has always consulted extensively on the development of its programmes with government, and is a consistent contributor and/or one of the first global organizations to have provided assistance during emergencies. These perceptions are also an important factor in its partnership with global development partners and local actors. As demonstrated in Table A16, factors of this kind were also rated important by most survey respondents. This in effect, is UNICEF's "capital" for upstream work, built up over years of engagement in country.

While staff and skills factors were seen by more than 80 per cent of respondents as being very or moderately important in explaining success (see Table A16), other factors associated with UNICEF's mandate, history in country and the nature of its work programme were rated even higher. However, when respondents were asked to rate factors that constrained upstream work by their importance, three of the five staff

and skill factors were in the top four factors as follows:

- UNICEF national staff are not trained for upstream work (64 per cent thought it very or moderately important);
- UNICEF country offices do not have enough staff to undertake upstream work in education in addition to other responsibilities (57 per cent);
- UNICEF country offices do not have the upstream technical policy and analytical skills required (53 per cent).

In the open-ended responses lack of training of international staff was added by respondents as an important factor. Furthermore, a fourth staff and skill factor was the factor for which there was the greatest divergence between low and middle-income country-based respondents: "Quick turnover of UNICEF international staff means that relationships are not built and/or sustained" was thought important by 47 per cent of respondents based in low income countries, compared to 27 per cent of respondents in middle income countries.



TABLE A16

Factors that contribute to or hamper UNICEF's success in UWE

Factor category	Type of factor	V High / Moderate importance
CONTRIBUTING FACTORS		
History and perception of UNICEF 92% rate these as important Mandate 88%	UNICEF is trusted by partners other than government	93%
	UNICEF is trusted and/or seen as neutral by government	92%
	UNICEF has a long history in country	91%
	UNICEF has a clear Convention on the Rights of the Child mandate and acts according to it	90%
	UNICEF is concerned with and has expertise in addressing equity in-country	87%
Nature of work programme and UNICEF strategy 86%	UNICEF undertakes work on the ground and/or understands practical issues and country context	91%
	UNICEF works in other sectors and can offer insights that cut across sectors	90%
	UNICEF spans humanitarian work and development work	79%
	UNICEF has a country-wide presence	77%
Staffing and skills 83%	UNICEF has had or has strong leadership for upstream work at the country level	91%
	UNICEF country office has capacity for upstream work	88%
	Among the international organisations UNICEF is the only organisation, or one of few, with education specialists based in country	79%
	UNICEF is the only or one of few international organisations in the education sector with staff in country	73%
FACTORS HAMPERING UWE		
Partner orientation & capacity	Government has no or little interest in partnerships in upstream work	44%
	UNICEF is squeezed out by other international partners as they bring more money	55%
Staffing and skills	UNICEF national staff is not trained for upstream work	64%
	UNICEF country offices do not have enough staff to undertake upstream work in education in addition to other responsibilities	57%
	UNICEF country offices do not have upstream technical policy and analytical skills required	53%
	UNICEF country offices do not have the soft skills required to undertake dialogue and policy advocacy	42%
	Quick turnover of UNICEF international staff means that relationships are not built and/or sustained	42%
	UNICEF is squeezed out by other international partners as they bring better skills to the table	33%
Programmatic and Strategy	The UNICEF country office leadership has not prioritized upstream work	36%
	UNICEF education section has not prioritized upstream work	33%



Unintended consequences

A final set of analyses under the result section is a look at the unintended consequences observed from UNICEF's UWE in the country field work. Unintended results observed are set out in Table A17 with a reflection of the number of times they were indicated by survey respondents as being an unintended consequence observed by the respondent in her/his country (for country-based respondents), or across countries (for regional and global respondents).

Notable is the high agreement that technical assistance provided by UNICEF creates

dependency in government (which would in all likelihood be true for many donors), and that engagement with national government has resulted in loss of relationships with local NGOs in some cases, which is a UNICEF-specific outcome.

Changes in the extent of UNICEF UWE

Question 7 sought to determine respondents' opinions on changes in the extent of UNICEF UWE over the evaluation period. Four statements were posed, to which respondents gave the varying degrees of agreement noted in Table A18.

TABLE A17 Question 6: Summary of Results

Question 6: Please indicate which of the following unintended or negative consequences from UNICEF's upstream work in Education have occurred.	
The provision of technical assistance for policy development by UNICEF has created dependency in government	39
UNICEF's engagement with national government has resulted in loss of relationships with local NGOs in some cases	36
UNICEF has lost touch with the ground as it no longer undertakes service delivery projects across country	18
The neutrality of UNICEF has been compromised as UNICEF is seen as siding with host governments or not advocating for children's rights as strongly as they should	17
UNICEF's supervision / management / coordination of sector funds squeezes out other forms of upstream work	15
Loss of government ownership of sector plans and policies	11
The neutrality of UNICEF has been compromised/government has lost trust in UNICEF, as UNICEF is seen as siding with other development partners	3
UNICEF's role as a broker of dialogue / key role in managing sector funds has meant that its capability to promote positions arising from its mandate is compromised	0

TABLE A18 Question 7: Summary of Results

Question 7: Please indicate whether you agree or disagree with each of the following statements, and explain the reason for your selection.				
Between 2003 and 2012 UNICEF expanded its participation in partnerships in education				
	Agree	Neutral	Disagree	I don't know
At the global level	56	9	0	28
At the regional level	42	15	1	35
At the country level	75	6	7	5



Table A18 (cont'd)

Between 2003 and 2012 UNICEF expanded its upstream work portfolio in education.				
	Agree	Neutral	Disagree	I don't know
At the global level	50	11	3	28
At the regional level	36	13	4	39
At the country level	71	7	6	9
The quality of UNICEF's upstream contributions to the education sector improved between 2003 and 2012				
	Agree	Neutral	Disagree	I don't know
At the global level	40	15	4	33
At the regional level	34	18	3	37
At the country level	67	11	5	10
UNICEF's capacity for upstream work improved between 2003 and 2012				
	Agree	Neutral	Disagree	I don't know
At the global level	42	14	3	33
At the regional level	38	13	4	37
At the country level	62	11	6	14

As identified in the analysis at country level and in the global fieldwork, the survey validated fieldwork evidence that UNICEF has increased its upstream engagement over the evaluation period, and that the quality of work has improved. Significantly, only 4 per cent of respondents disagreed that UNICEF had increased its participation in partnerships, increased its upstream work portfolio or improved the quality of upstream work, and fewer than 1 per cent of non-UNICEF respondents disagreed (Table A19). Most of the 'disagree' responses occurred at the country level of testing (56 per cent), in most cases (65 per cent) this was from respondents in middle-income countries. However,

this must be interpreted in the context of more respondents being country-based than regionally or globally based, and therefore having better knowledge of country-level work. In fact, country respondents indicating that they did not know comprised 9 per cent of country respondent responses at the country level, compared to 32 per cent and 40 per cent at the global and regional level respectively.

More respondents thought UNICEF had increased participation in partnerships more than its upstream work portfolio, or the quality of work ('I don't know' responses were steady across these categories).

TABLE A19 Survey respondents' opinions on changes in UNICEF UWE 2003–2012

Percentage of respondents agreeing that UNICEF	At the global level	At the regional level	At the country level
Increased participation in partnerships	86%	72%	85%
Increased its upstream work portfolio	78%	68%	85%
Increased the quality of upstream work	68%	62%	81%



TABLE A20 **Question 8: Summary of Results**

Question 8a: How important were the following as UNICEF's rationale for undertaking upstream work in education in low income countries? Please read the description of each rationale below and indicate how important you think the rationale to be.				
	Not a factor	Low Importance	Moderate Importance	Very Important
UNICEF works upstream in education, because for the same investment, the lives of many more beneficiaries can be affected.	8	3	15	67
UNICEF upstream work delivers more sustainable results than undertaking service delivery and projects	9	6	18	60
UNICEF has shifted to upstream work because it is a trend in development practice in the sector.	30	19	23	21
UNICEF has low country budgets in many countries: upstream work is all it can do.	30	22	26	15
Upstream work ensures that UNICEF has a place at the policy advocacy table.	10	2	17	64
UNICEF shifted to upstream work as it realized that improving how national resources are used is as important as, or more important than, providing additional resources.	6	2	19	66
UNICEF has shifted to upstream work as countries requested upstream work.	26	19	32	16
UNICEF upstream work in emergency provides an opportunity to build back stronger education sectors.	10	7	23	53
Question 8b: How important were the following as UNICEF's rationale for undertaking upstream work in education in middle income countries?				
	Not a factor	Low Importance	Moderate Importance	Very Important
UNICEF works upstream in education, because for the same investment, the lives of many more beneficiaries can be affected.	12	4	13	64
UNICEF upstream work delivers more sustainable results than undertaking service delivery and projects.	11	4	16	62
UNICEF has shifted to upstream work because it is a trend in development practice in the sector.	31	15	22	25
UNICEF has low country budgets in many countries: upstream work is all it can do.	27	6	27	33
Upstream work ensures that UNICEF has a place at the policy advocacy table.	14	3	13	63
UNICEF shifted to upstream work as it realized that improving how national resources are used is as important as, or more important than, providing additional resources.	11	5	11	66
UNICEF has shifted to upstream work as countries requested upstream work.	28	15	19	31
UNICEF upstream work in emergency provides an opportunity to build back stronger education sectors.	21	13	15	44



Rationale for undertaking UWE

Question 8 concerned the importance of a variety of potential rationales for UNICEF engagement in UWE. The results are noted in Table A20 but no further analysis is explicitly drawn from it to support the conclusions of the report.

Quality of Monitoring and Evaluation Systems

Across global, regional and country case study evidence it is clear that the broad shared understanding of what upstream work implies has

not yet produced a clear organizational definition of UWE which could allow it to be translated into coherent and detailed strategies, and targets. When testing these findings in the survey, the responses were mixed. Question 10 asked UNICEF respondents to indicate whether statements and targets for specific results of upstream work in education plans and strategies were absent, poor quality, neutral or good quality. The results are presented in Table A21 and summarized for country and global level respondents in Table A22.

TABLE A21 Question 10: Summary of Results

Question 10: Please indicate against each of the following aspects whether UNICEF Education monitoring and evaluation systems at the country level are in place, and assess their quality.				
	Absent	Good quality	Neutral	Poor quality
There are statements of and targets for specific results of upstream work in education strategic and operational plans	5	29	15	10
There are processes to collect data and monitor upstream work	6	23	20	10
There are processes to review and evaluate upstream work	7	20	22	10

Note: this question was for UNICEF country-level staff only

Question 10a: Please indicate against each of the following aspects whether UNICEF monitoring and systems for education upstream work at the regional and global level are in place, and assess their quality.				
	Absent	Good quality	Neutral	Poor quality
There are statements of and targets for specific results of upstream work in education strategic and operational plans	1	1	7	1
There are processes to collect data and monitor upstream work	1	0	6	3
There are processes to review and evaluate upstream work	0	0	6	4

Question 10b: Please indicate against each of the following aspects whether UNICEF monitoring and systems for upstream work in education at the country level are in place, and assess their quality.				
	Absent	Good quality	Neutral	Poor quality
There are statements of and targets for specific results of upstream work in education strategic and operational plans	0	0	6	4
There are processes to collect data and monitor upstream work	1	0	5	4
There are processes to review and evaluate upstream work	1	0	6	3

Note: this 2 part question was for UNICEF staff at global and regional level only



TABLE A22 Survey respondents opinion on quality of M&E systems for UWE

	Statements and results in plans		Data collection and monitoring		Review and evaluate	
	Country	Global	Country	Global	Country	Global
Absent	8%	0%	10%	10%	12%	10%
Good quality	49%	0%	39%	0%	34%	0%
Neutral	25%	60%	34%	50%	37%	60%
Poor quality	17%	40%	17%	40%	17%	30%

TABLE A23 Question 11: Summary of Results

Question 11: Please indicate your agreement or disagreement with the following statements.				
Between 2003 and 2012 UNICEF used its resources (human, financial and other) efficiently to undertake upstream activities				
	Agree	Neutral	Disagree	I don't know
At global level	18	24	7	43
At regional level	18	24	5	45
At country level	52	20	9	12
In most cases, given circumstances, the upstream activities that UNICEF undertook between 2003 and 2012 were the activities most likely to achieve results				
	Agree	Neutral	Disagree	I don't know
At global level	22	21	5	44
At regional level	20	24	2	46
At country level	56	17	7	13
Between 2003 and 2012 UNICEF took on too much and spread its resources (human, financial and other) too thinly in education upstream work				
	Agree	Neutral	Disagree	I don't know
At global level	13	16	12	51
At regional level	13	16	11	52
At country level	22	24	31	16

Proportionately far fewer respondents at country level thought that statements and targets were weak or absent, compared to global respondents. More significantly, none of the global and regional respondents thought country level mechanisms were good quality, compared to 49 per cent of country respondents. Further questions about the quality of systems to collect data on and to monitor upstream work, and processes to review and evaluate the work, got similar differences in

responses. Notwithstanding the quality of targets and systems, overall 70 per cent of respondents thought that less than two thirds of upstream activities were covered.

Recognizing the limitations of the country case study data on the efficiency of UWE resource use, the survey included a question which sought to ascertain respondents' degree of agreement with a series of statements related to efficiency and cost-effectiveness of UNICEF's UWE. The results are presented in Table A23.



TABLE A24 Survey responses: efficiency, cost effectiveness and focus in UWE at the country

	Between 2003 and 2012 UNICEF used its resources (human, financial and other) efficiently to undertake upstream work		In most cases, given circumstances, the upstream activities that UNICEF undertook between 2003 and 2012 were the activities most likely to achieve results		Between 2003 and 2012 UNICEF took on too much and spread its resources (human, financial and other) too thinly in education upstream work	
	UNICEF	Non-UNICEF	UNICEF	Non-UNICEF	UNICEF	Non-UNICEF
Agree	64%	65%	68%	76%	30%	24%
Neutral	22%	35%	24%	12%	30%	35%
Disagree	14%	0%	8%	12%	40%	41%

Table A24 shows the proportion of respondents, broken down by UNICEF/non-UNICEF against each option for UWE at the country level, for which most respondents selected one of the three options (with a fourth “I don’t know” option making up between 7 per cent and 13 per cent of UNICEF responses, and between 13 per cent and 17 per cent of non-UNICEF responses).

It is notable that:

- Across the three questions non-UNICEF respondents rate UNICEF’s performance higher than UNICEF respondents, particularly on the choice of activities that UNICEF undertook in country-level UWE.
- The lack of disagreement with the statement that UNICEF used its resources well and undertook activities most likely to achieve results. In fact, none of the 17 non-UNICEF respondents who answered the question indicated that they disagreed with the latter statement.

- Respondents’ views on whether UNICEF had sufficient focus in its upstream activities were more ambiguous: while less than a third of respondents who gave an answer disagreed with the statement that it was spreading itself too thinly, only about 40 per cent were prepared to disagree outright.

Collaboration with Other Partners

Two questions in the survey concerned collaboration between UNICEF education departments and other partners. Question 9 sought to conceptualize the variety and depth of collaborations between UNICEF and other partners in the undertaking of UWE. The results are noted in Table A25. 57 per cent of respondents thought that collaboration occurred for less than a third or none of BEGE’s work, with only 11 per cent choosing more than two thirds, and the remainder (32 per cent) selecting one to two thirds of upstream work. Most non-UNICEF respondents indicated that they did not know, as could be expected.



TABLE A25

Question 9: Summary of Results

Question 9: In your country please indicate the degree to which you consider UNICEF Education collaborated with each of the following partners between 2003 and 2012.				
	More than two thirds of upstream work	One to two thirds of upstream work	Less than one third of upstream work	None of UNICEF's upstream work
UNICEF Education collaborated with other divisions/sections/units of UNICEF	9	23	39	5
UNICEF Education collaborated with other UN partners	19	25	32	6
UNICEF Education collaborated with other multi-lateral and bilateral development partners	27	38	13	4
UNICEF Education collaborated with international education development partners such as INGOs, multi-laterals, bilaterals and/or international research institutions	14	34	14	7
UNICEF Education collaborated with national organisations, such as universities, think tanks and/or research institutions	11	23	37	5
UNICEF Education collaborated with national NGOs	17	20	38	8
UNICEF Education collaborated with the private sector	2	5	36	28

TABLE A26

Question 12: Summary of Results

Question 12a: The four country case studies found different amounts of collaboration between UNICEF staff at Education Section at Headquarters, in regional offices and in country offices. Please indicate how much collaboration you have experienced or evidenced in the areas below.			
	Frequent collaboration	Occasional collaboration	No collaboration
Formal capacity building or training programmes / workshops offered by headquarters	7	31	10
Formal capacity building or training programmes/ workshops offered by regions	12	30	6
The provision of guidelines and/or tools for upstream work offered by headquarters	7	30	11
The provision of guidelines and/or tools offered by regions	10	31	7



Table A26 (cont'd)

	Frequent collaboration	Occasional collaboration	No collaboration
Country offices sharing their upstream work experience	7	29	12
Joint reviews of upstream work by headquarters and/or regional and/or country offices	1	21	26
Participation of or advice from Education Section Headquarters advisors in country upstream work	5	20	23
Participation of or advice from Regional Education Advisors staff in country upstream work	14	26	8
Support by BEGE staff from other countries through advice or participation in country processes	2	18	28
Support for or participation in recruitment processes for upstream skills	4	17	27
Question 12b: Recognising that UNICEF is a very decentralised organisation, against each of the following types of collaboration is the collaboration (i) too little, (ii) too much, (iii) appropriate?			
	Appropriate	Too little	Too much
Formal capacity building or training programmes / workshops offered by headquarters	20	28	0
Formal capacity building or training programmes/ workshops offered by regions	22	26	0
The provision of guidelines and/or tools for upstream work offered by headquarters	25	20	3
The provision of guidelines and/or tools offered by regions	32	16	0
Country offices sharing their upstream work experience	12	36	0
Joint reviews of upstream work by headquarters and/or regional and/or country offices	10	38	0
Participation of or advice from Education Section Headquarters advisors in country upstream work	14	33	1
Participation of or advice from Regional Education Advisors staff in country upstream work	34	13	1
Support by BEGE staff from other countries through advice or participation in country processes	15	33	0
Support for or participation in recruitment processes for upstream skills	15	32	1

Note: this 2 part question was for UNICEF staff working in Education only



Question 12 tested findings on the degree and desirability of collaboration by asking whether respondents had experienced various types of collaboration, to what level, and whether they thought the level too little, too much or appropriate. The results are given in Table A26.

A first important statistic is that no respondents identified any collaboration that occurs frequently or too often. When the different types of collaboration are sorted by the frequency and desirability identifier used by the majority to describe them, the following pairs result:

- Collaboration that is deemed to occur occasionally and of which there is too little (in order of the most desired collaboration): Country offices sharing their upstream work experience (75 per cent thought it too little); formal capacity building or training programmes / workshops offered by headquarters (58 per cent thought it too little); formal capacity building or training programmes/workshops offered by regions (54 per cent thought it too little).
- Collaboration deemed by majority not to occur, and of which there is too little (in order of the most desired collaboration): Joint reviews of upstream work by headquarters and/or regional and/or country offices (79 per cent thought it too little); participation of or advice from Headquarters advisors in country upstream work (69 per cent thought it too little); support by BEGE staff from other countries through advice or participation in country processes (69 per cent thought it too little); support for or participation in recruitment processes for upstream skills (67 per cent thought it too little).
- Collaboration that is deemed to occur occasionally and which is appropriate (in order of collaboration most deemed appropriate): Participation of or advice from Regional Education Advisors staff in country upstream work (71 per cent thought it appropriate); the provision of guidelines and/or tools offered by regions (67 per cent thought it appropriate); The provision of guidelines and/or tools for upstream work offered by headquarters (52 per cent thought it appropriate).

These results confirm that more collaboration should occur, particularly joint reviews of upstream work between levels of UNICEF, and sharing of upstream work experience. It is also worth noting the desire for more participation and advice from Headquarters on upstream work, and across countries by BEGE staff.



ANNEX 4

CONTEXT OF THE EVALUATION: A CHRONOLOGY

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
Pre-2000	<p>International Developments in Education</p> <p>1954: Conference on Free and Compulsory Education in Arab Countries of the Middle East, Cairo.</p> <p>1960: Adoption of Karachi Plan for Development of Free and Compulsory Primary Education in Asia.</p> <p>1960: The Convention against discrimination in education (adopted by UNESCO).</p> <p>1960–1961: Regional conferences on compulsory education: Karachi, Beirut, Addis Ababa.</p> <p>1979: Convention on the Elimination of all Forms of Discrimination against Women (CEDAW)</p> <p>1980: UN World Conference on Women, Copenhagen. Equal access to education fundamental.</p> <p>1989: Convention on the Rights of the Child. Children should have right: to survival; to develop to the fullest; to protection from harmful influences, abuse and exploitation; to participate fully in family, cultural and social life.</p> <p>1990: World Conference on Education for All (EFA), in Jomtien, Thailand adopted the World Declaration on Education for All, which stated that all have a right to education. Commitment to meet the basic learning needs of every citizen.</p> <p>1995: Beijing Declaration and Platform for Action formed at UN Fourth World Conference of Women. Equal access to education and eradication of illiteracy amongst women put as key strategic objectives.</p> <p>1999–2000: EFA Assessment involving 6 regional conferences shows EFA agenda had been neglected.</p>	<p>UNICEF General</p> <p>1979: CEDAW adopted by the UN General Assembly.</p> <p>1980: UNICEF launches the Women in Development Programme.</p> <p>1989: The UN Convention on the Rights of the Child (CRC) adopted by UN General Assembly.</p> <p>1995: Carol Bellamy made UNICEF Executive Director, following J. Grant. Bellamy serves for 10 years</p> <p>UNICEF Education</p> <p>1965: Half of UNICEF's budget for Africa is earmarked to support education programmes.</p> <p>1990: UNICEF founds the EFA Movement with four partners, including UNESCO and World Bank.</p> <p>1990: The World Summit for Children, organized by the UN, sees participants committing to work for programmes that reduce illiteracy and provide educational opportunities for all children, irrespective of their background and gender.</p> <p>1994: UNICEF and UNESCO invent the 'school-in-a-box' kit, to enable access to education even in emergency situations. The kit continues to form part of UNICEF's emergency response.</p> <p>1998: Sheldon Schaeffer is appointed Associate Director, Education Programmes and Global Chief of Education, holding the positions until 2001.</p> <p>1999: UNICEF's flagship publication is released: "The State of the World's Children 1999 – Education"</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
2000	<p>General Aid Context UN Millennium Summit: 189 world leaders sign up to try to end poverty by 2015.</p> <p>International Developments in Education World Education Forum: 164 governments adopt Dakar Framework for Action and commit to inclusive education system for all. UNGEI launched</p>	<p>UNICEF General UNICEF's flagship publication (2000) is released: "The State of the World's Children 2000"</p> <p>UNICEF Education UNICEF becomes the Secretariat for UNGEI.</p>
2001	<p>General Aid Context G8 Meeting – Genoa, Italy. July 2001: G8 countries establish EFA Task Force, to be led by Canada.</p> <p>International Developments in Education First Meeting of the High-Level Group on Education for All takes place 29th –30th October 2001: created by the Dakar Framework for Action to sustain and accelerate the political momentum created at the World Education Forum and serve as a lever for resource mobilization.</p> <p>Aid to basic education grew consistently between 2001 and 2004 from a low base.</p>	<p>UNICEF General First review of UNICEF experience with SWAps and sector development programmes. Showed UNICEF increasingly providing support to education-sector SWAps, predominantly in Africa.</p> <p>UNICEF release "The State of the World's Children 2001: Early childhood"</p> <p>UNICEF Education Girls' Education becomes UNICEF's "Organizational Priority No. 1" in Medium-Term Strategic Plan 2002–2005 adopted in 2001.</p>
2002	<p>General Aid Context Monterrey Consensus forged at the International Finance and Development Conference (March, Mexico). Commits rich nations to boost trade and aid opportunities for countries with sound policies.</p> <p>G8 Washington DC USA (April): Development Committee endorses EFA Action Plan and FTI.</p> <p>G8 Kananaskis, Canada (June): agreement to significantly increase bilateral assistance for the achievement of EFA and work with bilaterals and multilaterals to ensure implementation of FTI.</p> <p>International Developments in Education EFA FTI was established by 22 bilateral donors, development banks and international agencies.</p> <p>EFA (Netherlands, April): developing countries and external partners agree on broad principles for scaling up EFA efforts; the Netherlands commits 135 million Euros to set the process in motion.</p> <p>The Global EFA Action Week was started annually to raise awareness of the importance of EFA.</p> <p>EFA Global Monitoring Report established in UNESCO to monitor progress towards EFA goals.</p> <p>Second Meeting of the High-Level Group on Education for All, Abuja, Nigeria 19–20 November.</p>	<p>UNICEF General Declaration and Plan of Action adopted by the General Assembly Special Session on Children (<i>A World Fit for Children</i>) provide detailed vision for children (particular relevance to the work of UNICEF).</p> <p>UNICEF's flagship publication released: "The State of the World's Children 2002: Leadership"</p> <p>UNICEF Education Evaluation synthesis report summarizing lessons and implications from girls' education activities released.</p> <p>Dr Cream Wright is appointed Associate Director, Education Programmes and Global Chief of Education.</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
2003	<p>General Aid Context</p> <p>Rome Declaration on the harmonization of aid (February): development community committed to work towards aligning its assistance around a country's development priorities and to harmonizing donor policies and priorities around country systems.</p> <p>International Developments in Education</p> <p>The FTI Catalytic Fund (CF) established to provide transitional grants over a maximum of 2–3 years to enable countries lacking resources at country level but with FTI-endorsed education sector plans to scale up the implementation of their plans.</p> <p>Third Meeting of the High-Level Group on Education for All, New Delhi, 10 –12 November.</p>	<p>UNICEF General</p> <p>Thematic funding established as a funding mechanism.</p> <p>UNICEF joins partners in the Global Alliance for Vaccines and Immunization.</p> <p>UNICEF convenes the Global Partners Forum on orphans and vulnerable children.</p> <p>Africa's Orphaned Generations published</p> <p>UNICEF develops the Guidelines for the Protection of the Rights of Children Victims of Trafficking.</p> <p>UNICEF releases "The State of the World's Children 2003: Child participation"</p> <p>UNICEF Education</p> <p>Publications highlight girls' education and UNICEF has strong presence in school-based WASH projects.</p>
2004	<p>General Aid Context</p> <p>Marrakech Round Table on Results, February: Development agencies endorse five core principles on managing for development results (MfDR) providing a coherent framework for development effectiveness in which performance information is used for improved decision-making.</p> <p>International Developments in Education</p> <p>The World Economic Forum's Global Governance Initiative (January, Switzerland): global review of existing multi-stakeholder partnerships for education (MSPEs).</p> <p>Fourth Meeting of the High-Level Group on Education for All – Brasilia (November).</p> <p>Education Programme Development Fund (EPDF) established (November) as a funding window under the FTI to support low-income countries improve the quality and sustainability of their education sector planning and programme development.</p> <p>Aid to basic education reaches its peak.</p>	<p>UNICEF General</p> <p>UNICEF's 2004 Core Commitments are for Children in Emergencies (CCCs).</p> <p>The Global Polio Eradication Initiative addressed epidemic in West Africa.</p> <p>UNICEF procurement of antiretroviral drugs and testing and diagnostics materials increased.</p> <p>UNICEF Education</p> <p>UNGEI initiative supports regional focal points, creates a Global Advisory Committee and develops a work plan. UNICEF also procures education materials worth \$71 million.</p> <p>UNICEF advances education parity through publishing "The State of the World's Children 2004: Girls, education and development"; focuses on girls' education and its relationship to all other development goals and to the promise of Education For All.</p> <p>Evaluation entitled "Education as a preventative strategy against child labour" released</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
2005	<p>General Aid Context</p> <p>Paris Declaration endorsed by over 100 Ministers, Heads of Agencies, other Senior Officials (March),</p> <p>UN World Summit New York, September: delegates accused of producing a 'watered-down' outcome document which merely reiterated existing pledges.</p> <p>Ten-year review of the Beijing Platform for Action (1995), whereby a Declaration was adopted reaffirming the Beijing Declaration and Platform for Action and pledging the Commission's full and accelerated implementation of the provisions put forward.</p> <p>International Developments in Education</p> <p>The flow of aid to basic education declines for the first time since 2001.</p> <p>The gender parity goal set for 2005 is missed.</p> <p>5th meeting of the High-Level Group on EFA – Beijing, China, 28–30 November 2005.</p>	<p>UNICEF General</p> <p>UNICEF releases: "The State of the World's Children 2005: Childhood under threat"</p> <p>Anne Veneman appointed as the new Executive Director of UNICEF, serving a five year term until 2010.</p> <p>UNICEF Education</p> <p>Basic education and gender equality key priority in the 2006 to 2009 Medium Term Strategic Plan. UNICEF's work divided into 5 focal areas: Young Child Survival and Development; Basic Education and Gender Equality; HIV/Aids and Children; Child Protection: preventing and responding to violence, exploitation and abuse; Policy Advocacy and Partnerships for Children's Rights. This is the plan that articulated the shift to upstream work most clearly, through focal area five and within each of the other focal areas.</p> <p>The School Fee Abolition Initiative (SFAI) launched by UNICEF and the World Bank.</p>
2006	<p>General Aid Context</p> <p>Committee on the Rights of the Child (41st session), Geneva, Switzerland.</p> <p>International Developments in Education</p> <p>Educational Roundtable, held during World Bank/IMF Annual Meetings, September, Singapore. Meeting focused on the progress that Finance Ministers from developing countries have made in preparing long term plans to achieve MDGs relating to education.</p> <p>The 6th meeting of the High-Level Group on EFA – Cairo, Egypt, 14–16 November 2006.</p>	<p>UNICEF General</p> <p>UNICEF releases "The State of the World's Children 2006: Excluded and Invisible"</p> <p>UNICEF undertakes review of experience with SWAps and sector development programmes.</p> <p>UNICEF Education</p> <p>UNICEF's Education in Emergencies and Post-Crisis Transition (EEPCT) programme begins.</p> <p>The Inter-Agency Task Team (IATT) in Education launch of the Girl Power book; debate on Girls' Education and HIV and AIDS during the IATT Conference on HIV and AIDS.</p> <p>EFA High Level Group adopts recommendations on Gender and Early Childhood Care and Education.</p>
2007	<p>General Aid Context</p> <p>Committee on the Rights of the Child (45th Session).</p> <p>May, EU Code of Conduct on Complementarity and the Division of Labour in Development Policy.</p> <p>International Developments in Education</p> <p>"Keeping our Promises on Education", May, Brussels, organized by EC, UK and World Bank. Aims to seek concrete proposals and commitments to action to deliver full primary education by 2015.</p>	<p>UNICEF General</p> <p>UNICEF releases "The State of the World's Children 2007: Women and Children – The double dividend of gender equality"</p> <p>UNICEF Education</p> <p>UNICEF and UNESCO produce a human-rights based approach (HRBA) to Education for All: developed in accordance with the Common Understanding document of the UN.</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
(cont'd) 2007	<p>German Federal Ministry for Economic Cooperation and Development organizes an international forum on “Capacity Development for Education for All: Putting Policy into Practice.” (October).</p> <p>The 7th meeting of the High-Level Group on EFA – Dakar, Senegal, 11–13 December 2007.</p> <p>Meeting of the Global Advisory Committee of UNGEI (November). Participants agree to collaborate on development of a simple, user-friendly Equity and Inclusion Tool, to be prepared for the FTI Technical Meeting in Tokyo in April in order to help stakeholders address inclusion of commonly excluded groups.</p>	<p>UNICEF’s Executive Board endorses the Education Strategy, which provides a long-term framework to guide the interpretation and implementation of the Medium-Term Strategic Plan (MTSP).</p> <p>UNICEF initiates work on the Child-to-Child (CTC) approach in BEGE KRA 1, to support work on ELDS to increase access to early learning.</p> <p>To understand the situation of life skills-based education within curricula, UNICEF organizes a stock-taking exercise on interventions in more than 150 countries and a Global Consultation of experts (August).</p> <p>IASC Education Cluster formed, with UNICEF and Save the Children as co-leads.</p>
2008	<p>General Aid Context</p> <p>Aid effectiveness summit: agreement to end aid fragmentation and coordinate aid better (Accra, Sep.)</p> <p>The 2008 Survey of Monitoring the Paris Declaration published (November).</p> <p>Second Global Conference on Financing for Development held (Doha, November). Reviews progress on the 2002 Monterrey Consensus commitments.</p> <p>The Doha Outcome Document fails to make progress on global aid issues.</p> <p>International Developments in Education</p> <p>FTI publishes Guidelines for Capacity Development in the Education Sector.</p> <p>FTI supports the Global Campaign for Education (GCE) to scale up support to national civil society education coalitions in eligible countries. Civil Society Education Fund (CSEF) born.</p> <p>Barrack Obama calls for a Global Education Fund and signs the Education For All Act.</p> <p>September 2008 the Mid-Term Evaluation of FTI begins.</p> <p>8th meeting of the High-Level Group on EFA – Oslo, Norway, 16–17 December 2008.</p>	<p>UNICEF General</p> <p>Mid-term review of the strategic plan (MTSP 2006 to 2009) held in first half of 2008, leading to the extension of the Strategic Plan to 2011 (with the Plan later extended again to 2013).</p> <p>UNICEF releases “The State of the World’s Children 2008: Women and Children – Child Survival”.</p> <p>UNICEF Education</p> <p>Capacity development programme for Child Friendly Schools launched globally.</p> <p>A report synthesizing findings of UNICEF evaluations and studies on Girls’ Education as an organizational priority (2000-05) is published.</p> <p>Evaluation of the Child-Friendly Schools Initiative.</p>
2009	<p>General Aid Context</p> <p>April London summit, G20 agree to provide US \$1.1 trillion of extra finances to International Financial Institutions, of which US \$50 billion earmarked to “safeguard development in low-income countries”.</p> <p>Agreed that US \$750 billion would be channelled through the IMF, US \$500 billion of which to provide New Arrangements to Borrow and US \$250 billion through Special Drawing Rights.</p>	<p>UNICEF General</p> <p>The UNICEF MTSP 2006 to 2009 extended to 2013.</p> <p>UNICEF introduces VISION, the integrated information management system, focusing on aligning business processes and tools in all UNICEF locations through transactional SAP applications and performance management.</p> <p>UNICEF releases “The State of the World’s Children 2009: Maternal and New-born Health”.</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
(cont'd) 2009	<p>International Developments in Education</p> <p>UNESCO World Conference on Education for Sustainable Development (March, Germany). Aimed to highlight the relevance of education for sustainable development (ESD). Declaration was adopted that proposed guidelines for the implementation of the second half of the UN Decade.</p>	<p>UNICEF Education</p> <p>UNICEF Executive Board adopts UNICEF strategic framework for partnerships and collaborative relationships.</p> <p>A Global Evaluation Report on Child Friendly Schools Programming is published.</p>
2010	<p>General Aid Context</p> <p>UN Women formed as part of the UN's reform agenda to channel resources and mandates for greater results. UN Women constitutes the UN's entity for Gender Equality and the Empowerment of Women, supporting the formulation of policies, global standards and norms as well as implementation of standards and accountability for commitments.</p> <p>High-Level Plenary Meeting of the 65th Session of the UN General Assembly on the MDGs, results in governments calling for accelerated progress towards achieving the MDGs.</p> <p>International Developments in Education</p> <p>The Millennium Summit creates increased momentum for education. It highlights the importance of equity, quality and the critical role of girls' education</p> <p>April: EFA FTI and UNGEI release the Equity and Inclusion in Education Guide.</p> <p>UNICEF and the UNESCO Institute for Statistics (UIS) launch the joint Global Initiative on Out-of-School Children in 2010 to accelerate efforts towards goal of universal primary education by 2015.</p>	<p>UNICEF General</p> <p>An in-depth review of the Strategic Plan held.</p> <p>Introduction of benchmarks for capacity development to be achieved in all UNICEF country programmes.</p> <p>UNICEF and PR China hold meeting on South-South Cooperation for Child Rights in the Asia Pacific Region.</p> <p>UNICEF releases "The State of the World's Children 2010: Child Rights"</p> <p>Anthony Lake appointed as Executive Director.</p> <p>UNICEF Education</p> <p>The Dakar Declaration on Accelerating Girls' Education and Gender Equality is a key achievement.</p> <p>BEGE KRA 2 develops the Out of School Children Initiative, with UNESCO Institute for Statistics (UIS).</p> <p>Partnership with Commonwealth of Learning on introducing Child Friendly Schools into teacher training. Progress evaluation for UNICEF's EEPCT programme.</p> <p>External review of GEC Co-leadership Arrangement between UNICEF and Save the Children</p> <p>Susan Durston takes over as Associate Director, Education Programmes and Global Chief of Education.</p>
2011	<p>General Aid Context</p> <p>Evaluation of the implementation of the Paris Declaration.</p> <p>Fourth High-Level Forum on Aid Effectiveness; culminates in signing of the Busan Partnership for Effective Development Co-operation. This document puts aid effectiveness in the broader context of development effectiveness.</p>	<p>UNICEF General</p> <p>UNICEF develops <i>Approach to South-South Cooperation – Programme Guidance Note</i>.</p> <p>UNICEF adopts the Corporate Emergency Activation Procedure (CEAP).</p> <p>'Making Coherence Work for Children' paper outlines UNICEF results-focused approach to engaging in United Nations coherence that aims to increase collective impact and reduce transaction costs.</p>



Annex 4 (cont'd)

Date	General Aid Context and International Developments in Education	UNICEF Global events and documents
(cont'd) 2011	<p>International Developments in Education</p> <p>EFA-FTI changes its name to the Global Partnership for Education (GPE). Launch of GPE Replenishment Campaign for 2012–2014. The GPE Fund launched in October. World Bank Education Strategy 2020: lays out a ten-year agenda focused on “learning for all”</p>	<p>UNICEF releases “The State of the World’s Children 2011: Adolescence – An Age of Opportunity”</p> <p>UNICEF Education</p> <p>The 2011 UN Economic and Social Council Annual Ministerial review focuses on education. Panama Declaration on Disaster Risk Reduction in Education Sector in Latin America and the Caribbean. Evaluation/global synthesis report of UNICEF’s Early Childhood Development Programmes. (2008–10)</p>
2012	<p>General Aid Context</p> <p>Global Partnership for Effective Development Co-operation replaces Working Party on Aid Effectiveness.</p> <p>International Developments in Education</p> <p>The UN Secretary General’s ‘Global Education First Initiative’ launched in September. First meeting of the revamped EFA Steering Committee. The Global Thematic Consultation on Education Post-2015 is launched. The World Bank’s 2012 World Development Report on Gender Equality and Development.</p>	<p>UNICEF General</p> <p>UNICEF’s Global Evaluation Report on Protecting Children from Violence is published. UNICEF releases “The State of the World’s Children 2012: Children in an Urban World”</p> <p>UNICEF Education</p> <p>UNICEF co-convenes with UNESCO the Global Thematic Consultation on Education. Formative evaluation of the UNGEI initiative undertaken. UNICEF’s Global Evaluation of Life Skills Education programme is published.</p>
2013	<p>General Aid Context</p> <p>A dialogue and leadership meeting hosted by UNICEF, UN Women and others held in Copenhagen to discuss how inequalities can be addressed in the Post-2015 Development Agenda.</p> <p>International Developments in Education</p> <p>EU High-Level Conference on Education and Development: May, Focus on quality and equity. Simulations for Equity in Education (SEE) tool built in collaboration by UNICEF’s Education Section and the World Bank to provide guidance on cost-effective ways to achieve equity in education.</p>	<p>UNICEF General</p> <p>UNICEF releases “The State of the World’s Children 2013: Children with Disabilities”</p> <p>UNICEF Education</p> <p>Global meeting on Education in Dakar, co-convened by UNICEF and UNESCO: discussions focused on the success and efficacy of the EFA initiative and MDGs and the elements of a possible education goal for post-2015. August: Geeta Rao-Gupta (Deputy Executive Director, UNICEF) named Interim Chair of the GPE. February: Jo Bourne made Associate Director of Education Programmes and Global Chief of Education.</p>



ANNEX 5

UPSTREAM WORK IN UNICEF STRATEGIES

TABLE A28

MTSP 2006–09(13): Upstream targets and associated areas of cooperation in BEGE KRAs

KRA	Upstream measures and strategies in the MTSP 2006–09(13)
KRA1: School readiness	<p>Increase number of countries with quality standards for monitoring school readiness as a component of developmental school readiness from 51 (the number reached in 2009) to 80.</p> <p>The associated areas of cooperation to achieve this goal are to develop and support national standards and assessment tools to monitor school and developmental readiness in ECD programmes; and to advocate and support governments and partners on policy, legislation and increased investment to achieve universal school readiness.</p>
KRA 2: Equitable access	<p>The number of countries with education sector plans that aim to reduce gender and other disparities as an indicator to achieve the gender parity organizational target.</p> <p>The MTSP identifies global and national advocacy for free and compulsory education; the identification assessment and analysis of barriers, disparities and opportunities in basic education through data collection and disparity analysis; UNICEF's role in the UNGEI initiative; and engagement with SWAs, PRSPs, the GPE and national budget analyses as key upstream areas of cooperation to achieve the target and goals of the KRA.</p>
KRA 3: Education quality	<p>An increase to 60% of the proportion of programme countries with national quality standards for primary education based on 'child-friendly schools' (CFS) or similar models.</p> <p>In the MTSP 2006–2009 (UNICEF 2010) 5 of the 6 KPIs against this target are oriented to upstream work. These are the number of programme countries (i) adopting quality standards for primary education (based on Child Friendly Schools (CFS)); (ii) with education sector plans that address issues of children affected by HIV and AIDS; (iii) undertaking gender audits of education sector plans; (iv) with policies and enforcement procedures against corporal punishment in schools; and (v) with environmental education or climate change adaption integrated into curricula.</p>
KRA 4: Education in Emergencies	<p>The organizational target for this KRA – in humanitarian situations girls and boys access safe and secure education and critical information for their own well-being – is not explicitly upstream. Nor do the associated key performance indicators target upstream engagement; rather they focus on meeting UNICEF's Core Commitments for Children (CCCs) in Emergencies; ensuring that UNICEF fills positions at the country level for coordinating country clusters, and the number of children receiving UNICEF-procured ECE materials. However, two areas of cooperation targeted in the 2011 extension of the MTSP are explicitly upstream, (i) promoting and supporting departments of education on emergency preparedness planning and the development of appropriate policies, including disaster risk reduction; and (ii) promoting standards for safe and child-friendly schools as part of disaster risk reduction and post-crisis reconstruction.</p>

Source: UNICEF 2005



ANNEX 6

UNICEF UPSTREAM WORK IN EDUCATION: COUNTRY EXAMPLES BY KEY RESULT AREA

This annex briefly describes key examples of upstream work in education found in country-level documentation for the 14 countries reviewed during the desk-review.

Examples from KRA1: School Readiness

The following are examples of country and regional upstream engagement related to KRA

- In Togo, where UNICEF co-leads the education sector partner group, a national policy of support for early childhood needs have been formulated, and the Education Sector Development Plan to access GPE funding included early childhood education/school readiness objectives. UNICEF as co-lead of the education sector partner group advocated for the inclusion of early childhood education / school readiness.
- In Nepal the UNICEF country office works primarily with national government counterparts in the education ministry and partner INGOs and NGOs to advocate for and provide technical assistance for developing policies and plans for ECD services, as well as related training and other materials. ECD became a formal part of national education policy in 2000, when Nepal adopted the EFA goals and strategies. The School Sector Reform Plan, adopted in 2009, includes concrete steps toward mainstreaming ECD into the national education system.
- In Armenia, UNICEF and the World Bank worked with government towards the adoption of the 2008–2015 Pre-School Strategy and Act on Alternative Pre-school Services. UNICEF contributed to the development of the national pre-school strategy, which incorporates Early Learning and Development Standards. The World Bank piloted services (UNICEF Armenia 2009).
- In Zambia, already prior to 2006, UNICEF successfully advocated for the inclusion of the early childhood care and development and education (ECCDE) component as a priority in the Fifth National Development Plan (FNDP) 2006–2010 (UNICEF Zambia 2006). In the next programme cycle (2007 to 2010) this was followed up with policy, curriculum and standards development support to strengthen the capacity of the public education system to facilitate increased access to early childhood care and development (UNICEF Zambia 2010).
- UNICEF helped advocate the Child-to-Child approach by engaging in dialogue with governments, mobilizing communities, developing tools, piloting the approach, and providing training in Child-to-Child methods. In China, a baseline study of 500 children was conducted to inform the programming and monitoring of Child-to-Child. By 2010 Ethiopia extended the Child-to-Child approach after a year of UNICEF-supported piloting and Bangladesh was integrating the policy as a supplementary strategy.
- UNICEF advocated for the inclusion of disaster risk reduction (DRR) in preschool education, which resulted in inclusion of DRR and safety issues in preschool education programmes in Armenia and Kyrgyzstan. In preparation for the construction of 30,000 ECD centres in China, UNICEF provided



technical assistance on the development of design standards taking into account different environments.

Country offices also undertook other forms of upstream engagement that contributed to these targets and areas of cooperation. For example in Argentina studies on the management of early childhood integrated care services generated new knowledge which was disseminated as a way to contribute to more effective public policy and the greater participation by civil society. In Chile UNICEF supported the in-depth review of ECD policies. The review process, which consisted of a combination of research, technical support, advocacy and social mobilization, led to the strengthening of early childhood policies at the municipal level and the implementation of a comprehensive child protection. In Burundi UNICEF contributed to improving monitoring and evaluation strategies for early learning and a national monitoring system was implemented to track children who complete preschool and enter primary school in six provinces.

Examples from KRA 2: Equitable Access

The following activities and interventions are examples of the kind of upstream engagement undertaken within the KRA2 BEGE theme, at the country and regional level, roughly sorted by types of intervention.

- *Awareness raising and advocacy:* In Kenya, UNICEF worked with 26 parliamentarians to develop and mobilize political support for a five-year plan for a National Commission for Nomadic Education to make education more accessible to nomadic populations.
- In Montenegro, UNICEF launched a campaign in coalition with over 100 national, European and international partners on inclusive education of children with disabilities. The initial evaluation of the campaign reported a change in public opinion: the number of people who believe that children with disabilities should only live in special institutions was nearly halved (UNICEF Education Section 2012).
- In Brazil UNICEF advocacy led to the establishment of the Pact for Children, a strategy to secure political will among state governments and civil society, to set targets for policy action for the most disadvantaged children and adolescents (UNICEF Brazil, 2011).
- *Policy dialogue, policy development and sector plan development:* Linked to the School Fee Abolition Initiative (SFAI) in Bangladesh, the decentralization of education management through block grants to schools for the implementation of School Level Improvement Plans (SLIP) is proving effective instruments for reducing the direct costs of primary education for parents.
- In Eastern and Southern Africa SFAI is accompanied by strategies to mainstream targeted interventions like cash transfers and in West and Central Africa it is accompanied by strategies to scale up supply-side interventions with regards to quality inputs (UNICEF Education Section 2008).
- In Sudan UNICEF is supporting the development of "A gender in education strategy". It promoted strategies for increased access and retention for girls and for more female teachers. A protective and gender sensitive school environment was incorporated in the minimum quality standards for schools, which aims to reduce gender based violence, and 50 school inspectors were trained in promoting the standards (UNICEF Sudan 2011).
- In Brazil, a 2009 constitutional amendment expanded mandatory and free schooling for children aged 4 to 17. This major national achievement, supported by UNICEF, strengthened education policies for adolescents (UNICEF Brazil 2011).
- In Togo, at the strategic level, the 2008 Country Programme Document (CPD) targeted policy dialogue on the



- establishment of a coherent and comprehensive sectoral policy and the abolition of school fees (UNICEF Togo 2008).
- The Afghanistan Girls' Education Initiative (AGEI) was launched under the umbrella of UNGEI, bringing together more than 20 partners, including line ministries, UN and donor agencies, NGOs and research organizations to develop a 2008–2010 work plan (UNICEF Education Section, 2008).
 - An initial version of the SEE model was developed and piloted in Ghana in 2011, and SEE was applied in additional country pilots in 2012 (UNICEF Education Section, 2011)
 - *Budgets, capacity development and systems strengthening:* In Togo the UNICEF Country Programme targeted strengthening of the guidance and administration systems to deliver quality educational services down to the primary level as a priority. In the most disadvantaged areas, a model of quality basic education was to be developed, in partnership with community-based organizations and civil society (UNICEF Togo 2008).
 - In Nepal, the results from UNGEI advocacy and partnerships included increasing budget allocation for the provision of girls' toilets in schools, doubling the number of girls receiving scholarships and developing a counselling package to keep girls in school (UNICEF Education Section 2012).
 - Linked to the School Fee Abolition Initiative, in Namibia, at the request of the Ministry of Education, UNICEF developed a policy briefing on the status of free primary education in relation to the Constitution, the Education Act and other national, regional and international commitments. Triggering significant public debate, the briefing resulted in a thorough analysis of all education costs borne by parents and caregivers within subsequent cabinet directives (UNICEF Education Section 2012).
 - In 2010, UNICEF effectively promoted social protection measures as a strategy for addressing disparities in education. With UNICEF's assistance, Nigeria introduced a conditional cash transfer (CCT) programme in two states. The initiative demonstrated the importance of CCTs in increasing access to education for children in the lowest wealth quintile (UNICEF Education Section 2011).
 - In Nicaragua UNICEF supported the Model of Quality Education, through the development of a new curriculum and standards for inclusive education for children with disabilities (UNICEF Nicaragua 2012).
 - *Strengthening of data, knowledge management and monitoring and evaluation:* In Turkey, the Girls' Education campaign was an effective entry point for identifying out-of-school children. It paved the way for a needs analysis that identified half a million adolescents aged 10–14 years who had dropped out of school or had never been enrolled. The Ministry of Education, supported by UNICEF, developed a 'catch-up' programme to re-integrate out-of-school children in the education system and to ensure better implementation of the Child Protection Law. An e-school data base was set up to monitor each child's progress. An outcome of UNICEF's advocacy was that these programmes, catering mostly to girls, are now mainstreamed into Turkey's education system, bringing the country closer to achieving the MDG goals for parity in enrolments and for gender equality (UNICEF Education Section 2009).
 - A joint study by UNICEF and the World Food Programme (WFP) provided the evidence base for the Government of Uganda's decision to include a health education and school feeding component in the national learning programme (UNICEF Education Section 2011).
 - The WASH in Schools initiative (WinS) continued expanding its activities, with



a noticeable two-fold increase in WASH in Schools Partnerships (to 80 organizations) and the inclusion of WinS indicators in national EMIS in 94 countries, including China and Tajikistan. Field research on WinS and equity in six countries provided information on the use of technology and design for ensuring that girls, children with disabilities, and those children living in remote locations learn in healthy environments. As a result of advocacy and support by UNICEF, programme countries in all regions (Belize, Guinea-Bissau, Iraq, Kyrgyzstan, Malawi and Papua New Guinea) conducted comprehensive WASH surveys to obtain a more complete picture of the situation of WASH in schools in 2011. This has provided a better understanding of WinS coverage and remaining gaps, enhanced the visibility of the initiative and leveraged funding opportunities (UNICEF Education Section 2012)

- *Regional work:* UNGEI regional partnerships have been providing support to country-level activities and have been in the vanguard on the production and dissemination of knowledge and lessons learned (on empowerment and gender audits of national plans) (UNICEF Education Section, 2008). For example, UNGEI continued to partner with the Forum for African Women Educationalists at the regional level to strengthen technical capacity in gender and evidence-based advocacy of its national chapters in 35 African countries (UNICEF Education Section 2011).
- Other regional work includes the composite index measuring disparities developed by the South Asia Region in 2008, the Education Parity Index (EPI). Using Bangladesh as an example, the calculations showed that child labour was the most significant factor, suggesting the need for greater attention to this group of children (UNICEF Education Section 2009).

Examples from KRA 3: Education Quality

Country-specific upstream engagement in BEGE KRA3 include:

- *Awareness raising and advocacy:* In Morocco UNICEF and the ministry of education in the 2002–06 and 2007–2011 cooperation cycles have been involved in a nationwide effort termed the quality education process and which resulted in Morocco's "Schools of respect" now rolled out in the region by UNICEF. As part of this process they set up joint meetings at which inspectors, teachers and educationists could discuss ideas around CFS. Both formal and informal encounters were set up (Faccini, 2010)
- *Policy dialogue, policy development and sector plan development* The CFS model has resulted in the incorporation of key aspects in country sector plans, for example in Egypt, India, Liberia and Myanmar in 2008 (UNICEF Education Section 2009)

In North Sudan UNICEF supported the development of education policy guidelines, operational principles, standards and training manuals based on a rights-based framework for the roll-out of the Child Friendly School initiative (UNICEF Sudan 2011).

In Chile UNICEF contributed to the policy dialogue within the Presidential Advisory Council on Quality Education, which prepared recommendations for a revision of the educational system. Two key areas of discussion were equal opportunity for access to school, and non-discrimination (UNICEF 2008).

In Morocco the education minister issued an official note in 2008 which saw the school improvement plan as refined by UNICEF, USAID and AFD, mainstreamed into the education system. The plan drew on a quality education grid developed by UNICEF, based on CFS, and school improvement tools developed by USAID and AFD (Faccini 2010).



In Morocco UNICEF has also been working on quality standards and monitoring mechanisms for education, including non-formal education, to support national strategy in the field since 2007. In 2008, widespread consultation with AREFs led to two phases being developed: 1) definition of quality standards for schools, 2) definition of quality standards for the various layers of the education system (Faccini 2010).

- In many countries the CFS model was also promoted through piloting. For example, the CFS model was piloted in 2008 in Bhutan, Lebanon, PNG, Sao Tome and Principe and scaled up in Kazakhstan, Mauritania and Zambia. China's successful experimentation with CFS pilots in 1,000 schools resulted in government adoption of this approach as its standard for improving the quality of education in primary as well as secondary schools (UNICEF Education Section 2009).

CFS components have been piloted in selected schools and provinces in Cambodia since 2005. But, here the programme lacked funding for national scale-up (Purcell, Riddell et al., 2010).

In Togo UNICEF provided funding and technical support for a school improvement project framework, which was adopted by the education ministry and the local education partnership. The model, linked to UNICEF's Child Friendly Schools, advocates for schools that have adequate, essential teaching and learning environments; are child-rights centred; meet quality standards, including having WASH facilities; and have an active PTA/community participation component (UNICEF Togo 2010b).

UNICEF-Armenia began working closely with the education ministry in 2000 to introduce CFS dimensions in Armenia and to engage in pilot activities. Examples of collaboration include introduction and establishment of student councils at schools; integration of life skills based education into the state curriculum; promotion and piloting of inclusive school model; a CFS concept paper (2004); the CFS standards document (2006); an awareness campaign and

competition in one region to become a pilot school; another awareness campaign in two more regions; and a preliminary action plan in 2009 to mainstream CFS in Armenian education reform (Schubert 2009).

- *Budgets, capacity development and systems strengthening.* In 2010, with support from UNICEF, a number of national governments developed relevant life skills curricula, including Cameroon, Zambia, Moldova, Myanmar and Namibia (UNICEF Education Section 2011).

In Northern Sudan, with the assistance of UNICEF, a comprehensive life skills curriculum was also introduced in 2008 and is being rapidly implemented across schools. The life skills curriculum includes developing self-confidence and dealing with conflict, HIV/AIDS, and gender issues (World Bank 2012).

In Sierra Leone the primary school syllabus was modified to include emerging issues such as HIV/AIDS, Gender, Peace Education, Population Studies and Girl-child education (UNICEF Sierra Leone 2004). UNICEF together with DFID also jointly funded a teacher verification exercise for reconciliation with the payroll. This will result in a clean payroll and provide the baseline for the development of teacher management systems (UNICEF Sierra Leone 2009).

UNICEF supported the development of new national standards for child-friendly facilities (Bangladesh, Ethiopia); the mainstreaming and expansion of hygiene education within teacher training programmes (Equatorial Guinea, Liberia, Papua New Guinea); and improved community-based school management systems (Pakistan, Uganda) (UNICEF Education Section 2011).

In Togo UNICEF provided technical support to the human resources department of the primary education ministry in order to collect, analyse and organize statistical data and other human resources information in order to take more rational decisions. In 2010 UNICEF also recruited technical assistance to support



the education ministry on education quality specifically (with the World Bank supporting procurement and the the Agence Française de Développement supporting planning) (UNICEF Togo 2010b).

The mid-term evaluation of the EFA FTI Cambodia country case study found that prior to the FTI, the UNICEF managed change management and capacity development programmes and CFS programme made some of the larger contributions to capacity building (Purcell, Riddell et al. 2010).

Nicaragua implemented a quality education model, which was supported by UNICEF through curriculum design in basic and secondary education and training of teachers.

In ESARO seven countries in the region are engaged in teacher education policy development, while nearly half of the region's country offices are engaged in the development or improvement of teacher education systems.

- *Strengthening of data, knowledge management and monitoring and evaluation.* In Togo UNICEF provided technical support for data collection and statistical data publication, for use in planning and decision-making in the education sector (UNICEF Togo 2010a).

In Sierra Leone UNICEF supported the validation of the nationally defined learning indicators for measuring learning outcomes. The School Inspectors' Manual was reviewed in order to facilitate collection, processing and retrieval of education data. The data will enable the education ministry to compute accurate results on key outcomes. (UNICEF Sierra Leone 2004)

- *Regional work:* The UNICEF ESAR office undertook an initial survey in 2011 of approaches in teacher management, teacher education and learning materials within and across countries.

Examples from KRA4: Education in Emergencies and Post-Transition Situations

At the country level UNICEF's upstream engagement in education in emergencies include:

- *Cluster coordination:* UNICEF leads the education clusters in many countries, taking a lead in facilitating engagement with government for better disaster preparedness. In Afghanistan for example, UNICEF promoted strategic and action-oriented cluster coordination through effective leadership and facilitated the development of a strategic vision and operational response plan. This led to the roll-out of the education cluster at the national level and in three regions, with cluster members receiving training on INEE minimum standards and the cluster approach.
- *Awareness raising and advocacy:* In cyclone-prone Madagascar, school safety and disaster management was strengthened through the production of media messages on cyclones and response. The video, complemented by a DRR guide for teachers, was used for training in at-risk schools (UNICEF Education Section, 2012).

UNICEF advocated for the inclusion of DRR in preschool education, which resulted in inclusion of DRR and safety issues in preschool education programmes in Armenia and Kyrgyzstan.

- *Supporting the development and implementation of standards and inclusion of EiE and DDR in sector policies and plans:* In Togo UNICEF supported the education ministry in developing a set of norms towards the achievement of quality education for all children. Through the definition of norms and standards criteria, one of the objectives is to identify the basic services that need to be addressed for education to continue even under severe or chronic crises. In 2010, as different aspects of



education services were assessed, school environment restoration and initiatives related to water, sanitation and hygiene (WASH) were given a high priority (UNICEF Togo 2010c).

In Sierra Leone UNICEF and Save the Children UK were mandated by the government to work with the ministry of education to develop a strategy on education in emergencies (Government of Sierra Leone 2007).

UNICEF advocated for the institutionalization of DRR within government frameworks, with some success, according to the BEGE Thematic Report for 2011 (UNICEF Education Section 2012). The Solomon Islands and Vanuatu have EiE/DRR policies and strategic implementation plans. In Burundi, the institutionalization of EiE/DRR at the central level was strengthened with the appointment of an EiE/DRR focal point in the ministerial cabinet. In Panama UNICEF helped the education ministry to develop school-based disaster reduction plans using the CCCs as a basis (UNICEF Education Section 2012). In Bosnia and Herzegovina UNICEF efforts contributed to the inclusion of EIE in education sector plans.

In preparation for the construction of 30,000 ECD centres in China, UNICEF provided technical assistance on the development of design standards.

- *Building capacity for EiE and DDR:* In Togo the EEPCT project enabled the education sector to improve its readiness and preparedness for emergencies, addressing major capacity constraints with regard to emergency response and the techniques, knowledge and skills to deal with emergencies in the education sector. In 2011, the project strengthen activities related to capacity building for the Education Cluster, especially at decentralized level through training of trainers and the development of action plans (UNICEF Togo 2010c).

- *Knowledge management, research and data collection:* Through the Pacific Island Multi-Country programme, UNICEF established the Live and Learn Environmental Education partnership.

UNICEF and UNESCO developed a DRR and Education Technical Note, and engage in multi-agency research into disaster risk and impacts for children, and map country-level best practices on the inclusion of DRR/climate change adaptation in the school curricula.

- *Regional work:* In 2011 all regions conducted capacity development workshops on EiE. These incorporated content and methodologies from previously developed EiE training and integrated tools from the INEE as well as from the global education cluster (UNICEF Education Section 2012).

The West and Central Africa regional office finalized its Guidance Notes to Integrate Conflict/Disaster Risk Reduction (C/DRR) in the education sector planning processes. As a result, vulnerability analyses were conducted in Burkina Faso and Chad, where C/DRR was integrated into education sector policies.

In Latin America and the Caribbean UNICEF co-organized the Regional Conference for Disaster Risk Reduction in the education sector, which culminated in the Panama Declaration signed by 18 countries. Twenty-four countries in the region successfully integrated environmental education into primary school curricula, while 22 countries integrated it into secondary education (UNICEF Education Section 2012).



ANNEX 7

SUMMARIES OF IN-DEPTH COUNTRY CASE STUDIES

The four country case studies look at the relevance and results of UNICEF's upstream engagement in education and gender equality in Afghanistan, Brazil, Cambodia and Zimbabwe. The selection of countries was based on their socio-economic and education sector profiles and the spread of UNICEF's engagement across the BEGE key results areas. Each study employs three to four mini-case studies of specific incidences of UNICEF upstream work in education to enable follow-through analysis from programme intentions to the results observed.

AFGHANISTAN

Introduction

The National Context: Of the case study countries, Afghanistan remains the closest to the emergency situation. In 2002 following the ousting of the Taliban and the Bonn Agreement, the Asian Development Bank's Comprehensive Needs Assessment recorded a collapsed education system. Challenges included the large numbers of children formerly associated with armed forces, the influx of 1.8 million returning refugees, the absence of a unified national curriculum, a severe shortage of teachers, as well as an estimated deficit of nearly 14,000 schools.

Upstream Work by UNICEF in Afghanistan: UNICEF has had an involvement in Afghanistan for over 60 years, directed from the country office (CO) in Islamabad during years of Taliban rule and from the CO in Kabul since 2002. During the first programming period (2003–2005), UNICEF's contribution to enrolment growth combined "downstream" work with "upstream" characteristics, as critical service delivery efforts were based on themes

such as the establishment of schools as centres for social change, improving the survival and participation of women, improving the protective environment for children, and capacity building. Increased donor coordination characterized the second programming phase (2006–2009) with the establishment of various education forums, and technical assistance was provided to MOE for, amongst other things, the development of a five-year strategic plan for education. In the third programming period (2010–2013), upstream work focused on positioning children and women at the centre of Afghanistan's development agenda, and developing policies on children's rights. UNICEF's school construction design was proposed as a model for other partners by the MoE during this period, and UNICEF became Supervising Entity (SE) for Afghanistan under the Global Partnership for Education (GPE).

Evaluation Findings

The relevance of UNICEF's approach to upstream work: UNICEF's involvement throughout the period has addressed an expanding agenda of education transformation relevant to the country's needs. The early focus of the Basic Education Programme was considered as highly relevant given the extremely low levels of access to school. Immediate service delivery was complemented by more upstream work including capacity building for key Ministry functions to jump-start national capacities and the machinery of government. Girls' education was a relevant focus given the enormous gender disparities in access and achievement. UNICEF's cost-effective schools (CES) models, the development of child-friendly schools (CFS) construction standards and UNICEF's coordination role were extremely relevant amidst the



proliferation of donor agencies and nascent government capacity. The introduction in 2012 of an equity-oriented approach focusing on the 10 most insecure and disadvantaged provinces increased the relevance of UNICEF's programming but was met with disappointment from some government stakeholders.

The results of UNICEF's upstream work: The school construction mini-case study, wherein UNICEF's model for school construction was proposed by the MoE as suitable for other donors, is a clear acknowledgement of UNICEF's upstream work achievements. Given the large number of companies and donor programmes involved in school construction, and the plethora of designs and materials, this represented a major advance.

The GPE mini-case study presents a more anomalous case. Although UNICEF has a track record of supporting donor coordination in education in Afghanistan, there is little evidence of any added value from its role as SE for the GPE. This may be due in part to the infancy of the GPE structure in the country, but overlap between the roles of the GPE SE and Coordinating Agency was also noted.

The Regional Office (RO) mini-case study illustrates that while the RO has considerable capacity to support policy shifts at CO level, its windows of opportunity are limited to when a new country plan is developed or a mid-term review takes place. CO staff need more systematic and explicit support from RO and HQ to help achieve the shift to upstream work. In addition, there is a need to respond to the extra institutional demands made by this type of work, as well as to the different skills required.

Internal coherence of UNICEF's upstream work in education: While there was a common understanding of the meaning of upstream work, there was a far from consistent agreement on skills and capacity needs for upstream work, or of ways in which common messages were shared and explored. Moreover, the systemic emphasis on skills development seemed to

be more at RO level than at the more critical CO level.

External coherence of UNICEF's upstream work in education: The involvement of other development agencies in education has increased enormously over the evaluation period, and their policies are seen to be coherent with UNICEF's upstream work (e.g., the uptake of CBE policy, CES and CFS), even if roll-out is not. UNICEF had not effectively communicated its positions on upstream work to other development agencies; stakeholders were not aware of any 'shift' to an upstream focus, or of the decision to focus on the 10 most disadvantaged provinces.

Factors explaining the results of UNICEF's upstream work: UNICEF's current mix of staff capacities is inadequate for policy level dialogue, particularly on the financial aspects of education. The length of UNICEF's experience in country and the trust it has garnered has been a great strength, but it is at risk of squandering this unless the coherence of upstream work is improved. UNICEF's commitment to its mandate obliges larger donors to focus on child rights issues but UNICEF lacks capacity to craft coordinated policy involving other development partners and the MoE. Finally, UNICEF does well at "hand-holding" but less well at staging the withdrawal of its support.

The sustainability of upstream work: UNICEF has not adapted sufficiently to an increasingly development rather than emergency education environment. Although UNICEF was relied on for support in re-establishing the MOE in the early phase, it is not ensuring the ongoing necessary institutional and organizational capacity development in the Ministry. This now rests on the expertise of very capable but skeletal staff, several of whom receive salary supplementation as key National Technical Assistance (NTA) within the Ministry.

Conclusions and Recommendations

The need to strike a balance between immediate service delivery and upstream work around policy influence, advocacy and system



strengthening was present from early on in the programme; however, the feedback of implementation to policy advocacy has waned over time. The MoE no longer has to rely on international TA given the considerable capabilities of its national staff; however, this is only made available through donor support in the form of NTA salary supplementation and UNICEF should develop detailed TA policies detailing expectations, accountability structures, and exit strategies.

In the high-risk environment of Afghanistan, UNICEF requires the best strategic analysis possible to ensure that its partnerships with government, development agencies and NGOs continue to build sustainable capacities for meeting children's rights. UNICEF is still in a favoured position in Afghanistan and must use this position, feeding in information from its field work and partnerships, to revise and amend its approaches, policy advocacy and the evidence it can bring to bear in influencing others.

BRAZIL

Introduction

The National Context: In spite of good progress on key MDGs and profound reforms, inequality – between the rich and the poor, men and women, white and black people and between regions – remains as a central national characteristic in Brazil. Education is seen as an important priority for addressing this, and free state-provided education is a right for all 4–17 year olds. Recent progress means that enrolment of children and adolescents aged 6 to 14 reached 98 per cent, but education quality has emerged as a key obstacle with poor performance and completion rates in particular among disadvantaged groups such as Afro-Brazilians, indigenous populations, and females.

Upstream Work by UNICEF in Brazil: UNICEF has been present in Brazil since the 1950s, over which period its role has evolved from a project focus to providing technical support and high-level advocacy, with the Government of Brazil

becoming one of the main funders. Over the evaluation period the portfolio has had a strong upstream focus, with efforts to influence the formation of national and sub-national education policies, as well as ensuring that existing policies are implemented at local level. Examples include its support for the government to develop and implement a National Pact for Literacy at the Right Age, a programme of recognizing well-performing municipalities on the basis of social and education indicators through a Seal of Approval (SELO), the promotion of equitable school access through racism guidelines, as well as TV/media interventions to change how the general public see education. UNICEF also supported the development of the 2011–2020 National Education Programme, advised on the expansion of compulsory education to preschool and upper secondary, and helped develop a Children Out of School initiative.

Evaluation Findings

The relevance of UNICEF's approach to upstream work: Overall UNICEF's upstream work has been highly relevant to the overall Brazilian context; whilst the government's investment in education has resulted in enormous progress in ensuring access, UNICEF has ensured a highly relevant focus on quality, and on issues of inclusion of disadvantaged groups given inequality along racial, historical, cultural, regional and gender lines. Evidence and research is used to identify these emerging priorities, and combining engagement at local level with dialogue with State and Federal level has further enhanced the relevance of UNICEF engagement.

The results of UNICEF's upstream work: In the Literacy at the Right Age case study, UNICEF undertook an assessment of children's literacy in the State of Ceará which revealed that over 50 per cent of children were illiterate at the end of grade three, and supported the State Department of Education to develop and roll out a Literacy at the Right Age programme. A similar process was then undertaken in the



State of Piauí. UNICEF played a key role in bringing partners together, supporting research that has fed into the decision-making process, and providing technical support to the design of the interventions and implementation.

In the SELO municipal programme, which was established by UNICEF, municipalities' performance against a set of eight indicators is tracked and those which reach pre-agreed targets are awarded the Municipal Seal of Approval (SELO). The programme has been highly successful in getting municipal governments to integrate child rights issues and MDG attainment into their local policies and programmes for education, health and maternal welfare. It has enabled UNICEF to actively influence the policy process and programming, and through this achieve significant impacts on a range of key child health, welfare and development indicators.

In the case study on indicators for assessing racial inequality in schools, UNICEF provided a disaggregated analysis of existing education statistics to highlight racial and gender inequalities. A collaborative effort involving the education ministry, a major Brazilian NGO, UNICEF and the Special Secretariat for the Promotion of Racial Equality then resulted in proposals to develop the indicators and produce a publication for dissemination to all schools in the country.

In the case study on working with journalists and the media, UNICEF played a key role in the establishment of ANDI Brazil (a network of journalists) and the ANDI regional network. UNICEF provided publications for briefing journalists on child rights issues in Brazil, advocating for child rights for education. UNICEF's role has evolved from funding the organization and workshops, to providing technical inputs and organizing events around specific themes in education. Through this approach UNICEF has been able to have an influence on the opinion of the general public and through it on the government and its policies.

Internal coherence of UNICEF's upstream work in education: While most UNICEF staff know what upstream work is, there is no explicitly formulated or institutional understanding of it which guides future programme development and the planning of resources, including human resources. There is not a lot of explicit collaboration between departments and programmes within UNICEF and there are also some concerns that the programme is being undermined by capacity limitations within the CO and RO teams, with staff stretched too thinly.

External coherence of UNICEF's upstream work in education: UNICEF partners appreciate the holistic view of child rights and specifically educational issues that the agency brings to the table. However, development partners and private sector partners have noticed that strains on existing UNICEF capacity risk undermining the coherence and effectiveness of the overall UNICEF approach.

Factors explaining the results of UNICEF's upstream work: UNICEF works effectively with government and other stakeholders to analyse needs, establish priorities and determine how best to address them. Its international reputation for professional competence and integrity, teamed with serious technical competence and a long-standing engagement in Brazil, has resulted in a very strong partnership with government.

The sustainability of upstream work: The UNICEF programme depends very heavily on non-core resources (including the Government of Brazil), which underlines potential vulnerability to changes in political positions. UNICEF is working hard to build capacity, but the provision of TA at national level may be inadvertently preventing the government from assuming more fully its own policy and priorities identification-and-response process. The results of upstream work are fully sustainable as they have been effectively integrated into the working programmes and policy of partners and many of the priorities are also integrated into Brazil's legislation.



Conclusions and Recommendations

UNICEF's engagement has had a strong upstream impact. Activities were conceived with MDG objectives in mind, but developed in collaboration with a wide range of government and civil society partners. UNICEF devoted significant attention not just to capacity building but also to enhancing political commitment to undertake activities at all levels. By drawing attention to the needs of populations in remote, disadvantaged areas, and to particular groups whose right to education is not being met, UNICEF has contributed to significant improvements in key social sector indicators in education and in health. The success in Brazil should be used to inform and build capacity in other country programmes undertaking upstream work. To strengthen its upstream engagement further, staff job descriptions and internal processes should be modified so that they can focus more effectively on upstream work.

CAMBODIA

Introduction

The National Context: Cambodia has made impressive gains in education since the end in 1979 of the Khmer Rouge regime, which had systematically destroyed the education infrastructure and deliberately targeted the education workforce. Primary enrolment indicators have dramatically improved and gender gaps have been bridged. The education infrastructure has been rebuilt and the capacity of the Ministry of Education, Youth and Sport (MoEYS) to manage education has been visibly improved. While access has improved, school retention rates are weak, particularly in rural areas and remote regions and especially for those from ethnic minority communities. An additional challenge is continued heavy reliance on donor funds, and there is concern around the steady decline in the share of the national budget devoted to education.

Upstream Work by UNICEF in Cambodia: UNICEF's upstream work in Cambodia was

initially anchored in the reform momentum that began with the preparation of the country's first Education Sector Plan (ESP) and Education Sector Support Programme (ESSP) for 2001–2005. UNICEF represented donors at the appraisal of the ESP/ESSP, and supported the engagement of NGOs in the SWAp. It also supported activities to improve planning capacity at national and subnational levels, and helped develop the Education Act and Curriculum Policy. During the 2006–2010 period, UNICEF's upstream activities were consolidated with support to the education Sector Working Group, technical inputs into policies (including Life Skills Education Policy, the Child-Friendly School Policy, the Inclusive Education Policy, the Gender Mainstreaming Strategic Plan and CFS Policy), and capacity development for core MoEYS departments. The strategic direction of UNICEF's 2011–2015 CPD points to an even stronger emphasis on upstream work, focusing on strengthening capacities at national and sub-national levels for the delivery of inclusive basic education services and in planning.

Evaluation Findings

The relevance of UNICEF's approach to upstream work: The gradual consolidation of its upstream work during the 2003–2012 period enabled UNICEF to stay relevant to the organization's internal mandate, national needs and government priorities. However, at times there has been a clash between government priorities and UNICEF's, in which instances UNICEF has chosen to follow the latter. UNICEF has normally been successful in ensuring these internal priorities are after some time also reflected in the MoEYS agenda, but introduced priorities tend not to attract government resources.

The results of UNICEF's upstream work: In mini-case study 1, UNICEF is found to be a key actor in the piloting of bilingual education (BE) and to have secured endorsement from the national government. It also lobbied for BE to be included in the ESP and CFS policy and



master plan, and later supported the development of a BE plan. However, despite progress in winning state support for BE, its sustainability is highly questionable as salary and training costs for BE teachers are financed by UNICEF.

In mini-case study 2, UNICEF's efforts are seen to have contributed significantly to the endorsement of the community-based schools and the home-based programmes as two officially recognized models for delivering Early Childhood Education services in Cambodia. However, while the government has manifested its commitment in a number of national policies and plans, its own financial commitment to the area continues to be very limited.

Mini-case study 3 considers the UNICEF-managed Capacity Development Partnership Fund (CDPF) which supports capacity development at the sector, ministry, local government and school levels. It matches pooled donor support to the first education-sector-wide capacity development plan and responds to the MoEYS priority of improving education management capacity at sub-national levels. The CDPF is definitely an improvement over the workshop- and project-based interventions of the past; however, it is not being managed by MoEYS and thus is not using government systems.

Internal coherence of UNICEF's upstream work in education: There is a strong common understanding of what upstream work in education entails among staff, but relatively little evidence of collaboration across UNICEF's sector units for upstream work in education. There was satisfactory collaboration on upstream work with the regional office, and whilst the direct engagement with HQ appears limited, the decentralized structure is seen as a strength rather than a limitation.

External coherence of UNICEF's upstream work in education: The main stakeholders in the education sector in Cambodia are well aware of UNICEF's approach to upstream work and its policy positions, even if this awareness does

not always equate with agreement. The importance of the Education Chief for communicating UNICEF's position in coordination forums was noted.

Factors explaining the results of UNICEF's upstream work: UNICEF's early presence in country led to the establishment of a long-term partnership with the government. The competence of the UNICEF staff was critical and combined technical expertise with lobbying and strategic bargaining capabilities. The dual emphasis on undertaking high-level policy lobbying and donor coordination while at the same time supporting pilots to establish best practice examples proved very effective. Finally, the reliable funding from Sida enabled UNICEF to stay focused on core education priorities and win influence with the government.

The sustainability of upstream work: Capacity development within the planning department in MOEYS led to the enhanced capacity of the EMIS unit and the government's improved ability to lead education sector planning and donor coordination. However, despite notable success in getting the government to adopt national level policies and endorse its best practice models there has been relative failure to get the government to commit its own resources to implementation of those policies and best practice pilots, bringing into question their sustainability.

Conclusions and Recommendations

UNICEF's early presence in Cambodia played a critical role in enabling it to build a long-term and trusting relationship with the government. Further, the capacity of its staff was critical to identifying the opportunities for undertaking effective upstream work in education. Visible effects of UNICEF's upstream work include the improved capacity within MoEYS to plan and monitor sector development and donor coordination, as well as adoption of national level policies or best practice models that can be traced to UNICEF lobbying efforts. However,



upstream work continues to face serious challenges in terms of sustainability as the government shows little willingness to finance UNICEF-support education priorities. The fear of losing influence with the government should not make UNICEF shy away from putting pressure on the government to address this.

ZIMBABWE

Introduction

The National Context: Zimbabwe obtained independence in 1980 after a long war of independence. During the first decade of independence huge strides were made in terms of education provision, bringing universal primary education and high levels of access. However, during the 1990s Zimbabwean economic fortunes changed. The crisis peaked between 2000 and 2008 when real GDP shrank by more than 40 per cent with inflation spiralling out of control. Economic decline resulted in a severe drop in well-being, particularly amongst women and children, compounded by the spread of HIV/AIDS, internal displacements, low agricultural production and the closure/partial functioning of many schools. The Global Political Agreement (GPA) that was hammered out following the two national elections held in 2008 led to the formation of the Government of National Unity (GNU) in February 2009. The Zimbabwean Dollar was suspended to try and combat hyperinflation and the government launched its Short Term Emergency Recovery Programme. In the education sector an amnesty for teachers was declared to encourage them to return to their jobs, a Transitional (education) Sector Plan was developed and the Education Transition Fund was set up as a means of channelling additional non-salary funds to education.

Upstream Work by UNICEF in Zimbabwe: Upstream work has always been present in UNICEF's education activities in Zimbabwe, but there has been an upstream shift post the 2008 crisis. Between 2003–2005, amidst the economic downturn, the main focus was on

implementation and piloting ideas to promote to government. A number of broader upstream themes were also supported, albeit to a lesser extent, as UNICEF contributed to the revision of the National HIV/AIDS Strategic Framework, played a key role in the adoption of the National Plan of Action on Orphans and Vulnerable Children (OVC), and also supported the elaboration of policies concerning girls' education, early childhood development, and CFS. The 2006–2009 period was characterized by emergency response and laying the basis for policy engagement. By November 2008, UNICEF had moved to a full emergency mode, specifically combating the cholera crisis and providing basic social services. By May 2009, in line with the change in the overall political and economic environment of the country, UNICEF was refocusing its programmes on a post-crisis transition phase. A UNICEF-managed Education Transition Fund (ETF) was set up in 2009, which carried out a nationwide distribution of textbooks and opened up policy discussions with the government around issues including school fees and the future funding of schools. 2010–2013 saw a more complete transition from emergency intervention to system strengthening. EMIS data was collected, analysed and published, and used to generate cost scenarios for the National Education Medium-Term Plan which laid the foundations for Zimbabwe to join the GPE. UNICEF also helped establish the Emergency Education Response and Preparedness Network, a school monitoring mechanism aimed at improving quality assurance, better coordination with schools and identification of gaps and risks. There was also on-going advocacy to increase the budget shares going to social services.

Evaluation Findings

The relevance of UNICEF's approach to upstream work: UNICEF has managed to maintain the relevance of its upstream programme by continuing to show its ability to engage in and implement downstream work. The idea of



helping the education sector to transition away from purely humanitarian work was well timed and well received.

The results of UNICEF's upstream work: Under mini-case study 1, support in the area of EMIS and other studies is being frustrated by the government's reluctance to release information; however, in spite of this the data have been used in by the Ministry and partners in planning and programming. The evidence generated through EMIS has also been instrumental in convincing the Ministry and donors of the urgency of interventions and to change approaches.

Under mini-case study 2, UNICEF Zimbabwe started using the CFS framework in relation to encouraging girls in schools in 2003/04. The CFSs concept brought many familiar ideas together in one package and so was quickly embraced and used by government. Despite being gradually rolled out across the country, around 2009 it began to fizzle out as UNICEF turned to other priorities (namely ETF), a move which the government did not entirely welcome. Although the pilots and training were popular with government and seemed to be taken on board, they lacked the funds to take the CFS idea any further.

Under mini-case study 3, UNICEF was selected to be the fund manager of the ETF as it was considered by donors the only "politically viable" option and was also favoured by government. The key achievements under ETF were downstream (e.g., distribution of 13 million textbooks, stationery and storage facilities to 5,300 primary schools), but additional upstream benefits were reaped through the ETF Steering Committee which provided a strong platform for sector coordination between donors and a forum for discussion between donors and the education ministry, which had otherwise been absent.

Internal coherence of UNICEF's upstream work in education: There is a shared understanding of

the broad direction of upstream work amongst the CO education team, but not of a more detailed strategy. A joint sense of purpose has been established within the CO, with evidence of working cross-departmentally to support initiatives like the ETF. There is little evidence of collaboration with HQ and regional levels due in part to UNICEF's decentralized model, which is seen as a great strength by staff enabling quick decision-making and ensuring relevancy.

External coherence of UNICEF's upstream work in education: UNICEF's role in relation to other external partners has increased over the period, with the move in 2009 to the cluster system. Whilst leading the education cluster UNICEF established good relationships with all partners and increasingly became seen as a trusted partner for implementation. It was also considered neutral and an "all weather friend" by government. Within the UN system, UNICEF is considered a key player in Zimbabwe.

Factors explaining the results of UNICEF's upstream work: Internal factors explaining the results of UNICEF's upstream work include strategic and focused leadership, relevant staff capacity, a longstanding trusted relationship with the government, and the autonomy of the CO to adapt to changing circumstances. External factors were also relevant, including the relatively low presence of other typical upstream actors (such as the World Bank and UNESCO) creating space for UNICEF, and the appointment in 2009 of a Minister who was particularly open to engagement.

The sustainability of upstream work: External factors such as the shifting political landscape in Zimbabwe and changing priorities of donors are presenting significant challenges to sustaining the progress made. Internal factors, such as staffing changes at crucial points and the absence of a deeper strategy and stronger systems around upstream work may limit UNICEF's ability to replicate the successes of the period of 2009 to 2012.



Conclusions and Recommendations

Whilst upstream work was already part of UNICEF Zimbabwe's activity in the early 2000s, there was a significant shift in the balance towards upstream work after 2008. In response to this crisis, UNICEF started playing a much stronger role in coordination in the education sector, uniting donors and mediating between donors and government, engaging government in policy discussions and leading in generating and managing funds. UNICEF was also generating evidence and advocating priorities flowing from the evidence, and supporting sector planning processes. This upstream work was effective because it created dialogue and policy space, changed attitudes and behaviour and improved the capacity for education management. The Zimbabwean experience therefore shows that there is a complex interaction between downstream and upstream work. While upstream work (data and evidence, system design, policy, planning) is necessary for programming and programme implementation, involvement in downstream work and links with implementers will often provide the knowledge, experience, trust and credibility to be able to participate effectively in the upstream processes.



PHOTO CREDITS AND CAPTIONS

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Children hold hands during an outdoor assembly at ORA Dİmpfondo School in Tosangana Village on the outskirts of the town of Impfondo, capital of the northern Likouala Province. The school provides basic education for indigenous Baka children, using the ORA (observe, reflect and act) teaching method. The ORA method, which incorporates the indigenous culture and local language, helps indigenous children integrate into government-run schools. Communities help build the schools, identify local teachers, and provide teacher-training in the two-year curriculum. Teachers are usually paid by the Catholic Church, which runs the schools, and parents provide food and other in-kind support. Fourteen ORA schools have been built in Likouala to date. ORA Dİmpfondo consists of two classrooms with open walls and a tin roof. A feeding programme provides students with a daily meal, prepared by women from the community and using food from the school garden.





