



**EXTERNAL EVALUATION REPORT ON THE DFID-  
FUNDED PROJECT: STRENGTHENING UNICEF HUMAN  
RIGHTS-BASED PROGRAMMING - PHASE 2**

**EVALUATION FINAL REPORT**

**18 NOVEMBER 2005**

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PARC Project No: 259

**PARC**  
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Commissioner	UNICEF
Report Title	External Evaluation Report on the DFID-Funded Project: Strengthening UNICEF Human Rights-Based Programming - Phase 2
Geographic area	All regions covered in project and report; 4 regional visits carried out: Central/South America, Middle East, East/South Africa, Central Europe/CIS
Sector	Human Rights, Organisational Development
Language	English
Date	18 November 2005
Collation	72 pages, 9 annexes in separate volume
Evaluation Type	External evaluation
Authors	Pierre Robert and Dr Achim Engelhardt, PARC

## ACKNOWLEDGEMENTS

The evaluators wish to gratefully acknowledge the support they have received from a wide range of managers and staff at UNICEF, both at Headquarters and in the offices they visited. Staff took time from very busy schedules to share insights with the evaluators in a spirit of openness and candour. The evaluators also wish to thank the many representatives of other UN agencies and NGOs who have agreed to set time aside for interviews. The contribution of DFID representatives in London, New York and other locations is also gratefully appreciated. Errors and omissions remain the responsibility of the evaluators.

## LIST OF ACRONYMS

CAP	Country Assistance Plan
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEE/CIS	Central and Eastern Europe/Commonwealth of Independent States
CHAP	Country Humanitarian Assistance Plan
CO	Country Office
CPC	Country Programme of Cooperation
CRC	Convention on the Rights of the Child
DAC	Development Assistance Committee
DFID	Department for International Development
EAPRO	East Asia and Pacific Region Office
ESARO	Eastern and Southern Africa Region Office
EXDIR	Executive Directive
HRBAP	Human Rights-Based Approach to Programming
HRU	Human Rights Unit
IDT	International Development Target
IECD	Integrated Early Childhood Development
LAC	Latin American and Caribbean
MDG	Millennium Development Goal
MENA	Middle East and North Africa
MICS	Multiple Indicators Cluster Survey
MTSP	Mid-Term Strategic Plan
NGO	Non-Governmental Organisation
NYHQ	New York Headquarters
OECD	Organisation for Economic Cooperation and Development
OLDS	Organisational Learning and Development Section
PPPM	Programme Policy and Procedure Manual
PRS	Poverty Reduction Strategy
PPT(M)	Programme Process Training (Manual)
RO	Regional Office
TACRO	The Americas and Caribbean Regional Office
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG(O)	United Nations Development Group (Office)
UNICEF	United Nations Children's Fund
SPO	Senior Programme Officer
WCARO	Western and Central Africa Regional Office



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## Executive Summary

1. This report provides an independent evaluation of Phase 2 of the UNICEF project “Human Rights-Based Approach to Programming” (HRBAP) implemented since 2001 with the support of the UK’s Department for International Development (DFID). The Performance Assessment Resource Centre (PARC<sup>1</sup>) contracted with UNICEF for this evaluation, under terms of reference appended to this document.

2. The purpose of the evaluation is to assess the extent to which “the activities supported by the project have contributed to a systematically increased capacity of UNICEF at global, regional and country levels to apply a human rights-based approach to programming”.

3. The overall goal of Phase 2 of the HRBAP project was to ensure “the application of a human rights-based approach to programming in 161 countries where UNICEF supports Country Programmes of Cooperation” (CPCs). Originally scheduled to end in December 2003, the project has been extended to November 2005 to compensate for further delays incurred in the course of the activities, mostly as a result of financial and human resources constraints.

4. The project had an overall budget of US\$3,374,000; it was divided into four sub-projects. Its purpose of the project was:

“Systematically increased capacity of UNICEF at global, regional and country levels to apply human rights principles and the provisions of the CRC in the design and implementation of CPCs, including through the use of effectively convergent programme strategies to promote development results for children and women, particularly those who are most excluded and marginalised.”

5. The four sub-projects were described in the project’s logical framework as follows (in summary):

- *Human Resources development.* Development of policies and guidelines, training and other forms of learning and practical assistance to staff in acquiring the competencies necessary to the implementation of HRBAP.
- *Documentation, assessment, dissemination and application of experiences.* This sub-project covered activities aimed at enhancing the learning capacity of UNICEF.
- *Development of indicators for global monitoring of the rights of children.* Based on the analysis of selected child rights indicators, this sub-project called for the identification of further indicators and measurement tools, to feed into programme process and other forms of training.
- *Strengthening and reinforcement of regional capacities in HRBAP.* This sub-project covered regional-level staff and management support activities aimed at enhancing capacity for HRBAP implementation.

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<sup>1</sup> [www.parcinfo.org](http://www.parcinfo.org)

6. The evaluation was based on the following sources of information, in addition to which a capacity building assessment framework is proposed, as well as a learning model and an overview of a research methodology on human rights indicators:

- *Project documents and reports.*
- *UNICEF policy documents.*
- *Internal documents on HRBAP.*
- *Training materials and procedure guidance.*
- *Case studies and other external reports.*
- *Previous evaluations.*
- *Interviews with UNICEF staff, representatives of UN agencies and non-governmental organisations (NGOs).*
- *Field and Headquarters visits.*
- *Analysis of an evaluation questionnaire.*

7. The analysis of the questionnaire on HRBAP highlighted the following points:

- Respondents (mostly Senior Programme Officers [SPOs]) displayed a very high level of awareness of HRBAP.
- HRBAP is perceived as a Headquarters and management-led process.
- Gender policies and approaches are seen as appropriately mainstreamed in the HRBAP material (although interviews suggested that implementation was lagging).
- United Nation Country Teams (UNCTs) are rarely seen as providing the impetus to adopt HRBAP.
- The Programme Policy and Procedure Manual is the main source of guidance on HRBAP.
- While helpful in developing Common Country Assessments (CCAs) and in identifying priorities, HRBAP is seen as less relevant in practice to the UN Development Assistance Framework (UNDAF) process. This is largely because the UNDAF portfolio is often developed by sector experts, and includes activities pre-dating the development of HRBAP in the country.
- Few respondents see HRBAP as relevant in practice to the Poverty Reduction Strategy (PRS) process.
- Government resistance and resource constraints are seen as the main challenges to implementing HRBAP more widely.

8. The Human Resources Development sub-project has largely delivered the required outputs. The Human Rights Unit contributed to a wide range of training materials and commissioned training that was appreciated. Despite shortcomings addressed in the recommendations below, the sub-project was relevant to UNICEF's needs. It was most effective in relation to those staff who attended training sessions.

9. The sub-project on human rights indicators led to research relevant to the assessment of children's and women's rights in specific situations. However the sub-project seems to have remained quite separate from the others. Its relevance to the HRBAP project as a whole is somewhat questionable. It is likely that other parts of UNICEF would be better placed than the Human Rights Unit to manage this sub-project – such as for example the Innocenti Research Centre.



10. As a result of the sub-project on regional capacity development, all regions have been encouraged to take part in HRBAP activities. Research, networking, intra-regional support appear to have been reinforced. The activities were relevant and appear to have been effective in increasing awareness of HRBAP among staff and among government and NGO partners. The involvement of government counterparts in HRBAP training is seen by CO staff as the first step in a long-term strategy aimed at changing the attitude of officials towards the beneficiaries of government services. This strategy will need to be sustained with information, advocacy and policy advice, which the sub-project is well placed to develop.

11. The activities undertaken in relation to UN reform and UN agencies coordination as part of the HRBAP project were highly relevant. They have contributed to a significant improvement of the UN's ability to articulate its practical commitment to human rights in development and humanitarian action, and have helped improve the UN's capacity to engage governments on human rights in relation to governance and to economic and social issues. The activities have also been effective in that the UNICEF experience is recognised across the UN system and has been used as a basis of work by other agencies. Major challenges remain, however:

- Gaining wider acceptance of HRBAP from UNCTs in all regions;
- Further integrating HRBAP in both the CCA and UNDAF processes;
- Mainstreaming HRBAP in the PRS process.

12. The Human Rights Unit has managed the project very effectively, ensuring that numerous activities were carried out, sometimes simultaneously. The project's finances appear to have been well-managed and funds allocation was closely monitored.

13. The implementation of HRBAP is clearly a responsibility of Regional Directors and Country Representatives. The project has done much to give them information, guidance and support in that regard. However the degree of implementation of HRBAP varies from country to country. This is an overall UNICEF management issue which should be addressed at senior management level.

#### **Relevance**

14. The project was particularly relevant to UNICEF as it contributed to the further implementation of the CRC by providing staff with tools and competencies for situation analysis, strategy development and programming. However, its relevance has remained hampered by the lack of uniform commitment to HRBAP across the country and regional offices, as a result of which some staff have felt unable to implement the new approach to a sufficient extent.

#### **Effectiveness**

15. The project has implemented most of the activities that were under its control, and the implementation was of a high standard. Meetings, training documents, policy guidelines, consultations, were widely praised for their level of professionalism and effectiveness at awareness-raising and as motivating tools. A large amount of feedback from experience has been gathered through case studies and other means, and made available across UNICEF and to relevant partners.

#### **Efficiency**

16. The project has carried out its activities within budget, although schedules were sometimes extended. The project management was appropriate although the team was understaffed in view of the tasks it had to coordinate.

## Sustainability

17. A significant portion of the activities of the project will have a long-standing impact. The training material and PPPM, in particular, are major achievements in that regard. However, there seems to remain a need for the Human Rights Team to continue proactively to spread the message of HRBAP, suggesting that the approach is not yet sufficiently mainstreamed across UNICEF.

### 18. Recommendations to DFID

- **Continue support to UNICEF's HRBAP project.** It seems appropriate that UNICEF be encouraged to design a third phase for the project, aimed at systematising the results already obtained and at contributing to further mainstreaming the approach across the whole of the organisation and amongst the other UN agencies.
- **Consider options for training staff at other UN agencies.** While UNICEF has effectively acted as a "pilot" for HRBAP, contributing to leading other agencies in that direction, there seems to be a need to develop HRBAP training models that are more applicable across the UN System. DFID might consider the appropriateness of encouraging the development of a HRBAP training process designed for the broader UN System. Working with UNDGO seems appropriate in that context.
- **Consider option for locating aspects of the project.** Some aspects of the current project could be treated separately in a new phase – such as the indicators sub-project, which could be the object of a separate arrangement with the Innocenti Research Centre or a non-UNICEF research entity.

### 19. Recommendations to UNICEF

The recommendations are arranged thematically and concern any further phase of the project.

### 20. Management issues

- **Reaffirm management support.** The senior management of UNICEF should reaffirm its support for HRBAP at UNICEF, and ensure that information from the project is fed through the Human Rights Unit to all the senior managers responsible for programmes and for the performance assessment of Regional Directors and Country Managers.
- **Include HRBAP issues in the recruitment of managers.** The following changes to recruitment procedures are recommended (see box on p. 45):
  - *Make HRBAP a compulsory area of discussion during recruitment.* While existing Human Resources policies and procedures do allow a focus on HRBAP during the recruitment process, they are not compulsory and depend on the interview panel. A change in the existing procedures, to make questions on HRBAP mandatory, might be helpful.
  - *Consider the HRBAP understanding and record of prospective managers.* The competency profile for country representatives is very rich and includes HRBAP among many other skills. As the selection of a country representative is based on the recommendations of the Regional Director, it should be ensured that HRBAP is addressed in these recommendations. This is currently not the case and HRBAP may not always be given due consideration. This situation should be rectified in the Human Resources procedures by ensuring that familiarity with, and the record

- of implementation of, HRBAP by the prospective manager are explicitly addressed.
- *Ensure externally recruited managers are assessed on HRBAP quickly.* For international staff joining UNICEF externally there is an option to assess HRBAP capacity *after staff is in post*. It is implicitly understood that this should happen within 12 months but it is recommended to make this time limit explicit.
- *Ensure SPOs are assessed on the basis of HRBAP.* In the case of Country Representatives, the Regional Director or the Deputy Regional Director and a panel undertake the assessment of HRBAP capacity. The assessment applies the UNICEF competences profile for country representatives and uses the competences as a set of indicators. In the assessment positive as well as negative issues are highlighted and are accompanied by a development strategy to overcome the weaknesses and to build on the strengths. This is another reason why HRBAP should be a central competence in the profile (see point 2). The focus on country representatives is important as at the country level the country representative undertakes the same assessment for SPOs.
- *Standardise interview processes and ensure systematic coverage of HRBAP.* Interview protocols should be made compulsory and standardised in a way that HRBAP cannot be avoided during interviews. This could help to prove whether HRBAP competences have been assessed during the interview.
- **Address decentralised management issue.** UNICEF should address more explicitly the management challenges related to the implementation of HRBAP across all regions, including through the recommendations below.
- **Take stock regularly.** The HRBAP project should provide for regular stock-taking exercises, involving an appropriate range of internal and external participants, to draw lessons from past activities and set directions for the coming period. It is suggested that such an exercise could take place annually.
- **Encourage decentralisation and co-management.** The HRBAP project should build on the current phase's approach of co-managing aspects of the project with other Units or groups within UNICEF.
- **Enhance human resource monitoring on HRBAP.** Ensure that the commitment to HRBAP at management (regional and country) and SPO levels is reinforced and becomes more uniform, taking account of the following aspects:
  - Prioritising HRBAP in internal and external recruitment, both in profiles and in interview process
  - Ensuring HRBAP assessment of new staff occurs within 12 months of arrival in post
- **Provide management support to facilitators on HRBAP and PP.** The facilitators should receive the formal support of their Director or Country Representative to spending the equivalent of two days per month for 12 months to follow up on their training and support others. The Human Rights Unit should work with the facilitators to plan with them the use of the time for follow-up, on the basis of surveys of needs in their region. In some cases, facilitators could be called upon to contribute to the further development of training material on specific situations.
- **Train managers in HRBAP strategy.** A training course should be developed, aimed at managers (Country Representatives, Regional Directors and

- Headquarters managers). This one-day course should be devised from a management point of view (setting/approving strategies, agreeing milestones, controlling costs and ensuring accountability and interagency coordination). This training should be available once or twice per year, probably on the occasion of international meetings.
- **Discontinue HRBAP annual programme reviews.** Because UNICEF offices already report on the application of HRBAP as part of their routine annual reporting, a separate, general review of programmes by the HRU seems unnecessary for the purposes of mainstreaming. The resources of the HRU in this respect are best devoted to contributing to the overall monitoring of the implementation of the Mid-Term Strategic Plan.

## 21. Training issues

- **Streamline and translate.** Ensure that training materials on HRBAP are easier to identify and available in a variety of languages appropriate to the needs of international and key national staff. A survey should be undertaken to assess the needs of national officers (and partners) for translations of training materials. The translation tasks should be shared between Headquarters and Regional Offices
- **Review the PPPM.** It would probably be appropriate, subject to consultations with a panel of users, to review the format of the PPPM and the way it is updated. The following approach should be tested with OLDS and users:
  - Each section of the PPPM should be laid-out as a stand-alone document (subject to some short sections being merged into one), each with a short (two computer screens) summary.
  - Each section should be illustrated with country examples, preferably from more than one region, and with thematic examples where relevant.
  - Each section should be updated as soon as new guidance concerning it is published, so that staff using the PPPM thus updated can be confident that they are using the latest, correct information.
  - Hard copies, where needed, should be issued in a loose-leaf binder, allowing for the inclusion of new material and updates without reprinting the whole text.
  - The electronic version would benefit from hyperlinks to specific examples of good practice in HRBAP, such as specific sections of relevant case studies and sections of training materials.
- **Train more HRBAP facilitators.** It is recommended that any further phase of the HRBAP project should include a further round of training for HRBAP facilitators, in addition to the PPT training including enough staff from each region to help create or sustain a momentum for follow-up which could overcome staff turnover and allow the facilitators to share the follow-up workload. A minimum of four staff per region is recommended.
- **Review the training.** The training for facilitators should be reviewed, in consultation with a panel of previous trainees, HRBAP specialists and experienced trainers, with a view to enhance the practical advice aspect (including, for example, practical exercises) and the relevance to agencies other than UNICEF.
- **Develop more specialist training modules.** Further training should be developed for specific situations such as programming in emergencies, conflict, etc. Some of this could be based on initiatives from regions under sub-project 4.

- **Develop HRBAP training for government officials.** It is recommended that dedicated training and information material on HRBAP be developed specifically for government officials in strategic sectors. The development of this training could be managed jointly by ROs and NYHQ, on the basis of existing material.

## 22. UN coordination

- **Link HRBAP and PRS.** Ensure that HRBAP can be more closely related with the PRS process (including through consultations with the World Bank) and that appropriate guidance and support is given for HRBAP to tackle issues of political change and peace-building.
- **Link with Action 2.** Include a significant element dedicated to linkage with the Action 2 mechanism as it relates to programming. This should include in particular UNICEF's contribution to:
  - a generic interagency training module on HRBAP;
  - intra-regional exchanges on HRBAP amongst UNCTs;
- **Advocacy with UN agencies.** The HRBAP project should integrate activities related to influencing other UN agencies and International Financial Institutions in the use of HRBAP, and to coordinating activities with the other UN agencies.

## 23. Learning and capacity building

- **Devolve studies to regions.** It is suggested that the commissioning of case studies and the organisation of consultations be devolved to the Regional Offices, as this could help ensure more “buy-in” of their outcome at regional level.
- **Prioritise regional level.** The HRBAP project should prioritise the regional capacity reinforcement dimension, by encouraging the ROs to reinforce intra-regional networks of research and exchange, including secondment of staff between countries where relevant.
- **Enhance follow up on feedback from studies.** The HRBAP project should be designed with a view to, among other outputs, follow up on the recommendations of the annual reviews, case studies and global consultations, and in particular should prioritise the four points raised by the Second Global Consultations:
  - the use of HRBAP in humanitarian emergencies;
  - contextual monitoring and evaluation;
  - integrating women's rights into the programming;
  - refining further the step-wise methodology

## 24. Human rights Indicators

- **Reassess methodology.** The methodology for the indicators research should be reassessed and alternatives be studied, including a methodology based on an analysis of states' obligations under human rights standards.
- **Separate the indicators project.** DFID and UNICEF should reconsider the inclusion of research on indicators in the part of the HRBAP project managed by the Human Rights Unit, and that alternatives locations be considered, such as the Innocenti Research Centre.

- **Human Rights results matrix.** It is recommended to experiment with the development of a human rights results matrix based on government obligations (see chapter 6) and that the matrix be revised according to its relevance in the above exercise.

## 1. Introduction

1. This report provides an independent evaluation of Phase 2 of the UNICEF project “Human Rights-Based Approach to Programming” (HRBAP) implemented since 2001 with the support of the UK’s Department for International Development (DFID). The Performance Assessment Resource Centre (PARC<sup>2</sup>) contracted with UNICEF for this evaluation, under terms of reference appended to this document<sup>3</sup>.

2. The purpose of the evaluation is to assess the extent to which “the activities supported by the project have contributed to a systematically increased capacity of UNICEF at global, regional and country levels to apply a human rights-based approach to programming”. This purpose is subdivided into two main aspects:

- The role of the New York Headquarters of UNICEF (NYHQ) in supporting and guiding the development and implementation of HRBAP;
- The capacity of Regional and Country Offices (ROs and COs) to provide leadership for capacity-building, assistance and advice for the implementation of HRBAP.

3. These two aspects involve consideration of the capacity-building models used by UNICEF in the project and of alternative models available to it, as well as of the management processes and organisational structures which were used to contribute to the fulfilment of the project. An additional but important issue relevant to the above two aspects is the evolving context of enhanced coordination amongst UN agencies at Headquarters and field levels.

4. This report starts with an introduction to the project and with an overview of the methodology used for its external evaluation. It then sets on with an overview of the context in which the project was implemented, focusing in particular on changes, both within and outside UNICEF, which had a bearing on the design and implementation of activities and on the overall management of the project.

5. Because the evaluation methodology relied in part on a questionnaire sent to selected UNICEF staff in all regions, the project overview is followed by the detailed analysis of replies to the questionnaire. This data is supplemented by additional interviews conducted by the evaluators at Headquarters and during field visits, and by taking into consideration the existing body of evaluation reports and case studies relevant to HRBAP, conducted by and on behalf of UNICEF since the inception of the project.

6. The questionnaire analysis is followed by a chapter dedicated to the consideration of each of the four sub-projects which make up the overall HRBAP project. This is followed by a chapter on project management issues, which in addition to a review of the work of the team leading the project, considers lessons learned in relation to the organisational challenges related to the implementation of the HRBAP at UNICEF.

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<sup>2</sup> [www.parcinfo.org](http://www.parcinfo.org)

<sup>3</sup> The annexes to this report are collated in a separate volume.

7. The subsequent chapter considers aspects of the capacity building and learning models associated with the project and discusses them in view of lessons learned in other organisational contexts, with the help of analytical frameworks tested in different environments, particularly non-profit and public-sector organisations.

8. The final chapter summarises the findings of the evaluation in terms of the project's relevance, effectiveness, efficiency and sustainability, and in terms of impact. It sets out recommendations for following-up the current phase of the project. Annexes provide further details about the strengths and weaknesses of the evaluation, a presentation of its findings and recommendations, a list of interview partners, the evaluation questionnaire sent to Country and Regional Offices, a bibliography and list of documents consulted, a review of key external evaluations on HRBAP and a review of earlier reports findings in relation to each element in the evaluation's Terms of Reference. Additional annexes present the capacity building assessment framework and a synthesis of recommendations on HRBAP by UNICEF staff who responded to the evaluation questionnaire.

### **1.1 The HRBAP project**

10. The overall goal of Phase 2 of the HRBAP project was to ensure "the application of a human rights-based approach to programming in 161 countries where UNICEF supports Country Programmes of Cooperation" (CPCs). The project followed an earlier phase (February 2000 - April 2001) initiated as part of the implementation of an Executive Directive issued in April 1998 by the Executive Director Carol Bellamy (see Chapter 2). Originally scheduled to start in May 2001, the project started in January 2002 when funds "became actually available".<sup>4</sup> Originally scheduled to end in December 2003, the project has been extended to November 2005 to compensate for further delays incurred in the course of the activities, mostly as a result of financial and human resources constraints.

11. The project had an overall budget of US\$3,374,000; it was divided into four sub-projects, inevitably overlapping to some extent. The division into sub-projects allowed for a set of outputs to be developed in each area seen as key to the implementation across UNICEF of the rights-based approach to programming and to meet the purpose of the project, which was:

"Systematically increased capacity of UNICEF at global, regional and country levels to apply human rights principles and the provisions of the CRC in the design and implementation of CPCs, including through the use of effectively convergent programme strategies to promote development results for children and women, particularly those who are most excluded and marginalised."

12. The four sub-projects were described in the project's logical framework as follows (in summary):

- *Human Resources development.* Development of policies and guidelines, training and other forms of learning and practical assistance to staff in acquiring the competencies necessary for the implementation of HRBAP.

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<sup>4</sup> Project report to DFID, December 2002. A full-time Project Coordinator was recruited in November 2002.



- *Documentation, assessment, dissemination and application of experiences.* This sub-project covered activities aimed at enhancing the learning capacity of UNICEF as an institution, by evaluating the practical implementation of HRBAP guidance in the work of COs, documentation of innovative approaches and cross-regional consultations.
- *Development of indicators for global monitoring of the rights of children.* Based on the analysis of selected child rights indicators, this sub-project called for the identification of further indicators and measurement tools, for development and testing in pilot countries. The outcome of this research was to feed into programme process and other forms of training.
- *Strengthening and reinforcement of regional capacities in HRBAP.* This sub-project covered regional-level staff and management support activities aimed at enhancing capacity for HRBAP implementation. This included the training of programme process facilitators, staff training, intra-regional experience-exchange facilitation, studies and technical support visits in each region.

13. These four sub-projects were managed by the Human Rights Unit (HRU), part of the Division of Policy and Planning (DPP) at UNICEF's headquarters<sup>5</sup>. A fifth sub-project was entitled "Child Survival, Growth and Development: Applying the Human Rights Approach to the Implementation of Community Integrated Management of Childhood Illness". It was managed separately from the rest of the project, by the Health Section in the Programme Division. The fifth sub-project was designed to "influence programming and programme guidance at the sector level".<sup>6</sup> This sub-project is not covered in the present evaluation, although brief references are made to it in the chapter on project management.

## **1.2 Methodology**

14. The evaluation was based on the following sources of information:

- *Project documents and reports.* This included the original proposal to DFID and the successive progress reports since 2002.
- *UNICEF policy documents.* These included communications to the Board of UNICEF, directives, policy documents and other material circulated within UNICEF on issues relevant to HRBAP.
- *Internal documents on HRBAP.* These included reports from consultation meetings, analyses prepared by the HRU and other discussions of HRBAP-related issues.
- *Training materials and procedure guidance.* These included a selection of manuals, courses, resource packs and other materials destined to support staff in implementing their programming tasks. Some of these materials were produced by the HRU itself, the majority were produced by other parts of UNICEF with input from the Unit. The selection included virtually all the materials relevant to HRBAP and normally available to staff through UNICEF's Intranet, or on CD ROMs.
- *Case studies and other external reports.* These included the studies produced as part of the HRBAP project, as well as material relevant to HRBAP produced by regional and country offices.

<sup>5</sup> The HRBAP team was located in the Programme Division (PD) until the DPP was reorganised in early 2004.

<sup>6</sup> Comments by the Reference Group on the 7 October draft of the present report.

- *Previous evaluations.* This included a significant body of studies, mostly evaluations, commissioned by UNICEF in relation to the implementation of the HRBAP project, although not necessarily restricted to that sole issue. A synthesis of the findings of these studies in relation to the issues covered in this evaluation is appended to this report (Annex 2).
- *Interviews with UNICEF staff, representatives of UN agencies and non-governmental organisations (NGOs).* Over 100 UNICEF staff were interviewed, mostly individually and in person, but in some cases in groups or by telephone. The interview approach is outlined below and the list of people interviewed is appended to this report.
- *Field and Headquarters visits.* The evaluators visited UNICEF's New York Headquarters twice, and visited Regional and Country Offices in El Salvador, Guatemala, Jordan, Kenya, Morocco, Panama, Tanzania, and Switzerland. The aim of the country visits was to assess the opportunities and challenges posed by the implementation of the HRBAP in a variety of political, development and social settings. An additional aim, in the visits to Regional Offices, was to assess the way in which advice and guidance from Headquarters was relayed and adapted to the regional situation.
- *Analysis of an evaluation questionnaire.* A questionnaire was sent by email in July 2005 to 41 recipients across all regions, the replies are analysed in Chapter 3 of the present report, which also provides a methodological introduction to the questionnaire.

15. The interview technique used was semi-structured. The evaluators sought information from the interview partners along two lines of enquiry:

- staff members' own experience of, exposure to or role in developing HRBAP;
- in the case of field staff, their response to the issues raised in the questionnaire

16. At the same time the evaluators sought to ensure that interviewees could pursue freely any line of argument they wished, particularly as related to their own experience of HRBAP and related issues within UNICEF. Interviews with non-UNICEF personnel followed a different approach: these interviewees were asked about their understanding of HRBAP within UNICEF, about any equivalent approach in their own organisation (particularly in the case of staff from other UN agencies) and about the influence of UNICEF's approach on their own work.<sup>7</sup>

17. Key informant interviews involved in-depth discussions with individuals who were selected because they represented certain groups of interest, or were particularly experienced, insightful, or informative. A group of key individuals have been interviewed in more detail than others: they were those whose input has been most essential to the inception of HRBAP and to its development during Phase 2. These interviews focussed on the policy and management aspect of HRBAP, and (where relevant) on the historical background to the project. The interviewees in this category included in particular:

- NYHQ staff who manage the project and who have played a key role in its earlier development;

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<sup>7</sup> Some non-UNICEF interviewees, such as NGO representatives, were familiar with UNICEF's work in their field of interest but not with its programming principles. Accordingly, interviews with these individuals were used to obtain a (necessarily limited) sense of the impact of HRBAP on activities on the ground.

- Regional Directors and Country Representatives, and members of the UNCT dealing with programming.

18. As outlined in the Inception Report of 28 July 2005, the evaluation used a triangulation method, cross-checking interviews with each other, with the written documentation, and finally with the questionnaire responses. This method helped ensure that, to the extent possible, subjective views and outcomes particularly influenced by externalities (such as the specifics of a country situation) could be identified and treated as such.

### *1.2.1 Capacity building assessment framework*

19. As each of the sub-projects deals with issues of capacity building, it seemed appropriate to assess this aspect taking into account both the project's own stated objectives and an accepted capacity building assessment framework, which could be used to provide as objective an assessment of the output delivered in the project as possible. Many capacity building frameworks have been developed, particularly by learning institutions and NGOs<sup>8</sup>, stressing aspects relevant to UNICEF such as empowerment, staff development and readiness to accept change. The most comprehensive and relevant tool for assessing capacity building in an organisation such as UNICEF seems to be one developed in 2001 by McKinsey, a consulting firm, specifically for the non-profit sector (but building on experience gained with commercial firms and public sector agencies).

20. This assessment tool, described in a 2001 publication<sup>9</sup> widely used since, sets out a "capacity framework" for the non-profit sector, which it defines as "a pyramid of seven essential elements: three higher-level elements – aspirations, strategy, and organizational skills – three foundational elements – systems and infrastructure, human resources, and organizational structure – and a cultural element which serves to connect all the others." The seven elements are defined as follows:

### **McKinsey's capacity building assessment framework**

1. "Aspirations: an organization's mission, vision, and overarching goals, which collectively articulate its common sense of purpose and direction.
2. Strategy: the coherent set of actions and programs aimed at fulfilling the organization's overarching goals.
3. Organizational skills: the sum of the organization's capabilities, including such things (among others) as performance measurement, planning, resource management, and external relationship building.
4. Human resources: the collective capabilities, experiences, potential and commitment of the organization's board, management team, staff, and volunteers.
5. Systems and infrastructure: the organization's planning, decision making, knowledge management, and administrative systems, as well as the physical and technological assets that support the organization.

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<sup>8</sup> See for example the website of the Alliance for Non-Profit Management, a portal carrying a wide range of material on (inter alia) institutional development for NGOs ([www.allianceonline.org](http://www.allianceonline.org)).

<sup>9</sup> See McKinsey and Company, "Effective Capacity-Building in Non-Profit Organizations", published by Venture Philanthropy Partners, Reston, Virginia, USA, 2001 ([www.venturephilanthropypartners.org](http://www.venturephilanthropypartners.org)).

6. Organizational structure: the combination of governance, organizational design, inter-functional coordination, and individual job descriptions that shapes the organization's legal and management structure.
7. Culture: the connective tissue that binds together the organization, including shared values and practices, behaviour norms, and most important, the organization's orientation towards performance."<sup>10</sup>

21. While all aspects of the framework described above are in some way relevant to this project, the full framework is designed to assess an entire organisation: as a result, some of the sub-criteria proposed by McKinsey are redundant in the context of the assessment of a project such as HRBAP. In Chapter 10 of this document, the assessment follows the outline of the McKinsey framework but focuses on selected criteria only (the full set of criteria is reproduced, for information, in Annex 5).

### 1.2.2 Institutional learning assessment

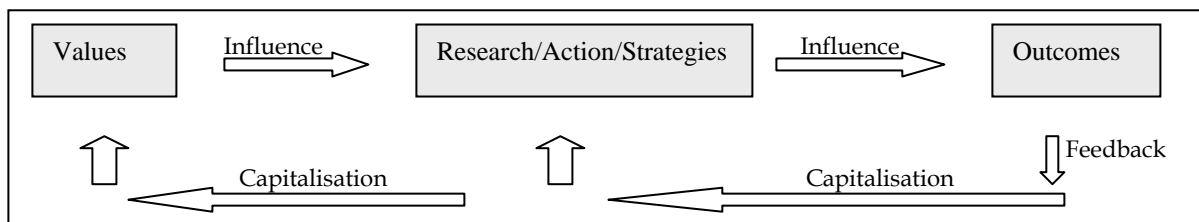
22. Institutional learning can be broadly defined as the capacity of an organisation to modify (alter or reinforce) its values and actions as a result of assessing their impact. In the words of two specialists:

"The *technical view* (of institutional learning) assumes that organisational learning is about the effective processing, interpretation of, and response to, information inside and outside the organisation. This information may be quantitative or qualitative, but is generally explicit in the public domain." (...)

"The *social perspective* on organisational learning focuses on the way people make sense of their experiences at work. These experiences may derive from explicit sources such as financial information, or they may derive from tacit sources, such as the "feel" that a skilled craftsperson has, or the intuition possessed by a skilled strategist." (...)

"The more tacit and "embodied" forms of learning involve situation practices, observation and emulation of skilled practitioners and socialisation into a community of practice."<sup>11</sup>

23. The definition and its two main embodiments outlined above can be related to the "learning from experience" model, which dates back to the earliest studies of learning behaviour and is "a component of almost all approaches".<sup>12</sup> This model can be summarised as follows:



<sup>10</sup> Effective Capacity-Building in Non-Profit Organizations, p. 33 (numbering added).

<sup>11</sup> Easterby-Smith, M., Burgoyne, J., and Araujo, L. (eds.), *Organisational Learning and the Learning Organisation*, London, Sage, 1999. Quoted by Mark K. Smith, *Learning in Organisations*, published online by Infed, July 2001 ([www.infed.org](http://www.infed.org)).

<sup>12</sup> John Dewey (1859-1952) is among the first thinkers on education who highlighted the importance of learning communities. See also the essay by Christine Prange ("Organisational learning – desperately seeking theory?") in the above book.

24. If this framework is accepted as relevant to HRBAP, an assessment of the learning model of the HRBAP project can be considered under the following headings:

- Is HRBAP a *technical* or a *social* learning model?
- How much is HRBAP seeking to learn from outcomes?
- Has it succeeded in capitalising from experience?
- Has this capitalisation achieved most impact on *values* or on *strategies*?

25. Consideration should also be given to two criteria which should be part of any learning strategy<sup>13</sup> and are particularly relevant to non-commercial organisations:<sup>14</sup>

- Mainstreaming: is institutional learning part of a corporate strategy integrated in management practice?
- Interactivity: are learning processes open to feedback from staff (in addition to outcomes) and adapted to their demands?

### **1.3 Key Questions**

26. In addition to the questions identified in the evaluation Terms of Reference, the following issues were identified by the evaluators and the Reference Group. These cover both issues of internal coherence in the HRBAP project, and issues of strategic outlook.

#### ***1.3.1 Strategic outlook***

- Did UNICEF properly recognize and encourage multiple HRBAP approaches?
- How were different approaches incorporated in the capacity building strategy and paradigm, and have they been treated equally?
- Has the HRBAP management process understood how different approaches work and guided high-level thinking about HRBAP accordingly?
- What strategy can be adopted to overcome the perceived weakness of gender mainstreaming in programming? Is the practice of nominating focal points at regional and country level good, how can this practice be improved or what alternative could be developed?
- To what extent is UNICEF's HRBAP practice able to influence others (governments, UN agencies, international community and civil society/NGOs)?
- What have been the consequences of shifting the project management team from the Programme Division to the Division of Policy and Planning, with regards to the expectations of other stakeholders? What kind of mechanism is recommended for UNICEF to ensure systematic capacity building and monitoring at global, regional and country levels?
- How will UNICEF ensure sustainability of the activities implemented by the project after the completion of DFID fund assistance at the end of 2005?

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<sup>13</sup> Colin Coulson-Thomas, "Developing a Corporate Learning Strategy", University of Luton, UK, 2005.

<sup>14</sup> The commercial sector being more conducive to the use of cost-benefit analysis as the main criterion for assessing learning.

### ***1.3.2 Project internal coherence***

- Were the activities at regional and country level adequately reflected in the development of guidance and the implementation of training, and was feedback from the field appropriately taken into account in the refining of training and guidance material?
- Did the training and guidance on programming adequately take into account the evolving work on indicators? Did the development of indicators of fulfilment of children's rights contribute in a timely manner to the development of training and guidance materials? Were lessons from the field taken into account in relation to indicators as well?
- Did the project manage the coordination with other UN agencies in a strategic manner? Did coordination at HQ level take full account of coordination at field level? More generally, were there enough provisions of human and financial resources in the project to ensure that UNICEF could effectively play a leading role in the programming aspect of UN reform?

## 2. Context and design of the HRBAP project

### 2.1 Developments leading to the HRBAP project

1. The history of the HRBAP project is inseparable from the Convention on the rights of the Child (CRC). Negotiated throughout the 1980s and adopted in 1990, the CRC became, within a few years, one of the most widely ratified international human rights standard. UNICEF played a key role in its drafting and adoption, both as a trusted “advisor” to UN Member States in general and in its interactions with individual governments and NGOs. Since the adoption of the CRC UNICEF is in the relatively uncommon situation amongst UN agencies, of having its area of work and mandate set in the framework of an agreed and binding international treaty.<sup>15</sup>

2. One key consequence of the CRC’s adoption is that UN Member States in which UNICEF operates have, by signing or ratifying the Convention, effectively made binding commitments to implement its provisions. As a result, UNICEF’s work with governments became more explicitly directed towards the implementation of governments’ own commitments. A corollary of that development was that UNICEF itself framed its own work in terms of the provisions of the CRC. The adoption of the CRC therefore effectively ushered in a climate conducive to adopting a rights-based approach to UNICEF’s work, several years before the HRBAP project took place.

3. Another corollary of the CRC, reinforced by the evolution of development thinking, is that children and other beneficiaries of UNICEF’s action are primarily “rights holders”, who should receive assistance in claiming their rights. This outlook provided an important intellectual basis for some of the relationships built between UNICEF and civil society organisations, as well as government partners.

4. During the 1990s, human rights gained renewed prominence as a central plank for the UN’s action. This resulted in part from the increased acceptance (facilitated by the end of the Cold War) that “democracy, development and respect for human rights and fundamental freedoms are interdependent and mutually reinforcing.”<sup>16</sup> The UN Secretary General reaffirmed that human rights and human development are inseparable and central to the UN’s action.

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<sup>15</sup> This was highlighted, *inter alia*, by former UNICEF Executive Director Carol Bellamy in a statement she made in October 2004 on the occasion of the launch of Action 2 (see also below, Section 8.2). She noted that:

(...) “UNICEF is especially pleased to be able to contribute the fruits of more than ten years experience of support to the ratification and implementation of the Convention on the Rights of the Child. This human rights treaty, together with CEDAW, has guided UNICEF’s work since the adoption of our Mission Statement in 1996. We have found that our support for the implementation of the CRC has been a particularly effective vehicle for assisting States in the achievement of their national development priorities. By becoming the instrument whereby policy is redefined at global, national and local levels, the CRC has stimulated and facilitated the integration of a human rights-based approach in all of the work we support, with our partners, for children worldwide.”

UNHCR is in a somewhat similar situation with the Refugee Convention, as is UNIFEM in relation to CEDAW and, in a different field, the ICRC with the Geneva Conventions. The adequation between treaty and organisational mission is probably closest in the case of UNICEF – a situation that representatives of other UN agencies have frequently mentioned.

<sup>16</sup> Vienna Declaration and Programme of Action, adopted on 25 June 1993 by the World Conference on Human Rights (Art. 8).

5. Within UNICEF, a key milestone was the 1998 Executive Directive (CF/EXD/1998/04 of 17 April 1998), issued by then Executive Director Carol Bellamy, which formally set UNICEF on course towards adopting a rights-based approach to its programming. This builds on years of experience acquired by UNICEF in formulating what rights it was working to promote and protect, and how. It also built on an increasing awareness of the respective roles and responsibilities of governments and international organisations. In essence, the role of UN agencies such as UNICEF was both to help rights holders claim their rights and to help governments (and other relevant partners) meet their commitments – but UN agencies were not to substitute themselves to these partners. One of the results of the implementation of the HRBAP in subsequent years, combined with the increasing momentum of CRC implementation, was to increase governments' awareness of their own responsibilities.

6. In 1999, a communication to the Board of UNICEF reviewed progress made since a 1991 Executive Board decision on implementing the CRC.<sup>17</sup> The communication was to form the basis of the project proposal for Phase 1 of the HRBAP project, submitted to DFID the following year. It reviewed the evolution of programming approaches under five headings, which were later to be found, in very similar terms, in Phase 2 of HRBAP. Below in brackets is a summary of the key points covered under each concept:

- Addressing discrimination and creating conditions for universal realisation of rights (guiding principle of the “best interests of the child”, focus on children in need of special protection);
- Shaping more convergent approaches to development outcomes (linkage between children's and women's rights, focus on early childhood development);
- Strengthening the programming process (participation, partnership, guiding role of situation analysis, respective roles of assessment, analysis and action, need for long-term approach, multiple approaches and use of alternative service delivery options);
- Developing rights-based indicators and monitoring (coverage of rights in reporting, development of dedicated questionnaires, work with child rights monitoring NGOs);
- Building organisational capacity and learning (development of new competencies, including analytical skills and work in conflict situations).

7. Beyond the context of the CRC's adoption, two significant trends relevant to the project emerged during the 1990s:

- There was an increased awareness of the need for the UN family to better coordinate its activities, including planning and fundraising, from the country level up. This trend led to the adoption of processes such as the Common Country Assessment (CCA) and United Nations Development Assistance Framework (UNDAF), and to the establishment of tighter coordination mechanisms amongst agencies at country and HQ levels. As the 2001 HRBAP Phase 2 project proposal to DFID noted, the UN Administrative Committee on Coordination issued in 2000 *The United Nations System and Human Rights: Guidelines and Information for the*

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<sup>17</sup> “Programme Cooperation for Children and Women from a Human Rights Perspective”, E/ICEF/1999/11 of 5 April 1999. The starting point was a 1991 Executive Board decision on the CRC (E/ICEF/1991/15).



*Resident Coordinator System*, calling on Resident Coordinators and UN Country Teams to “respect, represent and promote the human rights norms, standards and policies of the Organization”. The guidance contributed to increasing demand on the part of agencies for common sets of principles on which to base the organisation of their work. This remains a major area of work for the UN. Aspects of the HRBAP project found an echo amongst other agencies, partly as a result of this trend.

- More recently, the promotion and protection of human rights, as articulated in international human rights standard, was increasingly perceived as the most effective and legitimate platform on which to build more coordination across the UN family. The Action 2 process initiated by UN Secretary General Kofi Annan as part of his “Agenda for Change” (2002), built on and encouraged this trend. In this regard, UNICEF’s experience with the CRC and with the early phase of the HRBAP project placed the organisation in a good position to contribute to UN reform, therefore lending further legitimacy and strategic significance to the project (see Section 8.2 below).

## **2.2 The UK Government’s approach**

8. The British Government’s approach to supporting the UN also changed in the years preceding the inception of the HRBAP project. The five key trends underlining the British approach implemented by DFID and relevant to the present project can be summarised as follows:

9. Firstly, the change of government in 1997 led to a new policy, focused on the elimination of poverty. Organisational changes were also brought in, to ensure policy coherence within the UK government. Development was understood as going beyond the aid budget, and needing a concerted international effort: trade and other areas of international policy needed to be tackled. For example, migration, arms trade, conflict, security issues came on the development agenda. Also, the whole international system needed to work more effectively and in a more concerted way to tackle poverty.

10. Secondly, the ultimate aim of eliminating poverty was expressed by putting into place the International Development Targets (IDTs) - a DAC OECD selection from the goals agreed at the various UN conferences of the 1990s. These were replaced by the MDGs following the Millennium Review Summit in 2000. The MDGs were put at the centre of policy, programming and planning. Programming and policy documents had to demonstrate how they related to the achievement of the MDGs.

11. Thirdly, there was then the move to "wholesale" support of organizations and partner countries, and away from stand-alone projects. The aim was to get high level agreement on goals and purposes (the MDGs) and then provide reliable, predictable long-term support in the form of budget and core funding support to organizations and countries that could demonstrate the ability to help deliver MDGs outcomes.

12. The Human Rights based approach was then fitted into this as the "how" to achieve the MDGs. DFID had an explicit policy on Human Rights, set out in the Target Strategy

Paper on Human Rights. This was based on the three principles of inclusion, participation and accountability.

13. Finally, in relation to voluntary support for international organisations, including the UN System, DFID attached an increasing importance to projects which, while located in a given institution such as UNICEF or UNDP, were relevant to the UN family as a whole and therefore relevant to the pursuit of overall UN reform. Projects on conflict prevention, small arms, child soldiers, peacekeeping, etc, fell within this vision. The next section will show, however that the HRBAP Phase 2 proposal did not at the outset include a significant opening towards the rest of the UN family. That dimension was developed subsequently and it became one of DFID's key expectations, namely that the project should exercise its influence over the broader UN System.

### 2.3 Design of the project

14. The discussion above indicates that Phase 2 of the HRBAP project, with the four sub-projects outlined below, has built logically on existing trends within UNICEF: the organisation had been working on a human rights-based programming for over a decade when Phase 2 was formulated. This is why most of the work undertaken by the project from 2002 onwards had antecedents in the previous decade. Below are high level descriptions of the design of each sub-project:

15. *Human Resources development.* This was a logical area of focus: while many UNICEF staff members were experienced project managers and programmers and were familiar with the CRC, the crucial link between human rights principles and programming approaches had to be further developed, both as an intellectual construct (“how do I move from understanding children’s rights to developing a programme of work?”) and as a set of practical tools. The 1998 EXDIR was relatively tentative in that respect, offering more directions of research than specific procedural guidance. On the other hand, the Programme Policy and Procedure Manual (PPPM) already included many HRBAP-related elements. The PPPM had been put in its current form in 2000 but derived from Book D, the programming manual used throughout the 1990s. That manual, according to its users, included many aspects relevant to HRBAP: advice on situation analysis, community participation, etc. The key task of the sub-project was therefore to contribute to further updating the PPPM and other training materials, and to enhance the availability of facilitators conversant with the human rights aspects of programme process training.

16. *Documentation, assessment, dissemination and application of experiences.* The key aim of this sub-project is to improve UNICEF’s ability to learn from its own experience locally, across countries, across sectors, and vertically, through management layers. This sub-project was of key importance, because HRBAP’s cornerstone is the analysis of a country (or sector, or region) in terms of human rights. As a result, the linkage between analysis and programming requires constant feedback and learning loop to assess how activities on the ground impact on human rights. It was therefore key to the success of the project that the work of UNICEF on the ground be analysed in terms of the HRBAP and that innovative approaches and areas of progress be identified and replicated across the organisation.

17. *Development of indicators for global monitoring of the rights of children.* The sub-project on indicators stemmed from the realisation that the existing range of indicators (by about 2000), while useful, did not cover adequately some areas, such as child protection and participation.<sup>18</sup> Monitoring practice relating to rights also had to be developed, as monitors were more accustomed to monitoring more “traditional” criteria such as health data and economic statistics.

18. *Strengthening and reinforcement of regional capacities in HRBAP.* The sub-project on regional capacity was probably the most complex, in that it included an element of training and staff development (extension of the first sub-project), as well as interaction with governments UNCTs and NGO partners on human rights. As it effectively

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<sup>18</sup> See Board Communication E/ICEF/1999/11, paragraphs 44-46.

encompassed the field element of the project, it was also the most sensitive to country situations and to the local dynamics of relationships within UNCTs.

19. The impact of the project design on its relevance, effectiveness, efficiency and sustainability are discussed in Chapter 9 (project management).

#### **2.4 Implementation of the project**

20. The project approach was influenced by the history outlined above. The key trends relevant to the evaluation were the following:

21. The project was building on existing human rights approaches that varied from region to region. In TACRO, the approach was reputed to be primarily focused on governments: UNICEF contributed to the promotion and protection of children's rights by advocating policies and budget at central government level that were consistent with the governments' commitments under the CRC. That approach, privileging government lobbying over community development, was consistent with a pattern that emerged across Central and South Americas since the late 1980s, when the dictatorships in the region were gradually replaced by elected governments. The approach inherited the methods developed by human rights defenders in the region, and took advantage of the fact that, for the most part, the states in the region had adequate structures which gave them the capacity to implement at all levels policies set at the central level.

22. In ESARO, by contrast, the support for children's rights had long been more community-based than based on lobbying at central government level. This was in part because governments in the region had less complete and effective bureaucracies and in part because the gap between policy goals and resource availability was wide. It was also because a network of effective NGOs existed, at national and regional level, that could implement projects with an impact on children's rights - effectively, in some cases, supplementing weak state institutions.

23. TACRO and ESARO, due in part to the leadership of their respective directors over the years, came to represent different approaches to HRBAP - effectively the "community-based" and the "institution-based" approaches. The two approaches, however, were more complementary than divergent and it would be simplistic to infer that TACRO, for example, did not attach importance to linkages with NGOs as part of its advocacy work. The HRBAP approach fed from both sources, and by the time the evaluation took place, most interviewees saw the two regional approaches as complementary.

24. The project faced two major challenges in its early years:

- To develop a programming and conceptual framework encompassing all sectors of UNICEF activities (health, education, etc). This was necessary not just to ensure better programming but also to ensure better prioritisation and synergies across the organisation.
- To contribute to UNICEF moving beyond a "needs-based approach" to its activities. While the needs-based approach was never simplistic, it has been described to the evaluators as lacking emphasis on analysis: to caricature, a needs-

- based approach seeks to satisfy a need (such as vaccinations) without asking why that need had not been met before, whereas a rights-based approach helps a government (or other duty-bearer) to fulfil the rights of children (for example, to be vaccinated). The switch to the rights-based approach has been one of the challenges of the implementation of the HRBAP project in the field.

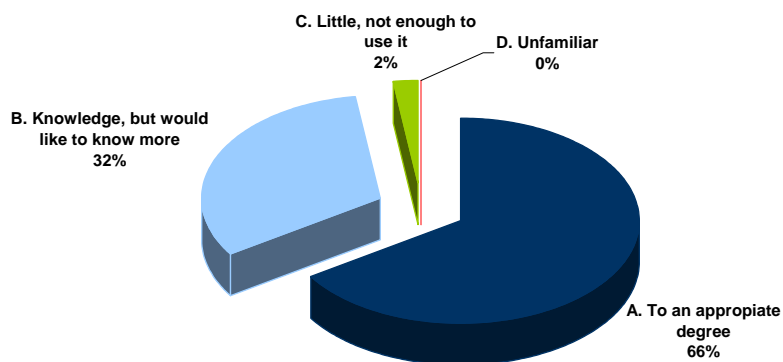
25. The following chapter analyses the response of field staff, mostly SPOs, to the HRBAP project as they have experienced it. Their responses are, to some extent, reflective of the above patterns and regional trends. The evaluators feel that the responses to the questionnaire developed for the evaluation were broadly consistent with the views expressed by interviewees during field visits.

### 3. Analysis of responses to evaluation questionnaire

#### 3.1 Detailed overview

1. An evaluation questionnaire on HRBAP (see Annex 3) was sent to 41 UNICEF regional and country offices, selected in coordination with the Human Rights Unit. Replies were received from 33 offices.<sup>19</sup> In addition, the questionnaire was used in some of the interviews conducted by the evaluators, leading to a total of 45 responses, from 28 COs and 5 ROs. In the following tables, the global results of the questionnaire are analysed. Regional variations to the global trend shown in the graphics are commented on separately. The tables below follow the questions as listed in the questionnaire. All

**Q2: Familiarity with HRBAP framework**



percentages in this chapter refer to the 45 respondents except where otherwise indicated.

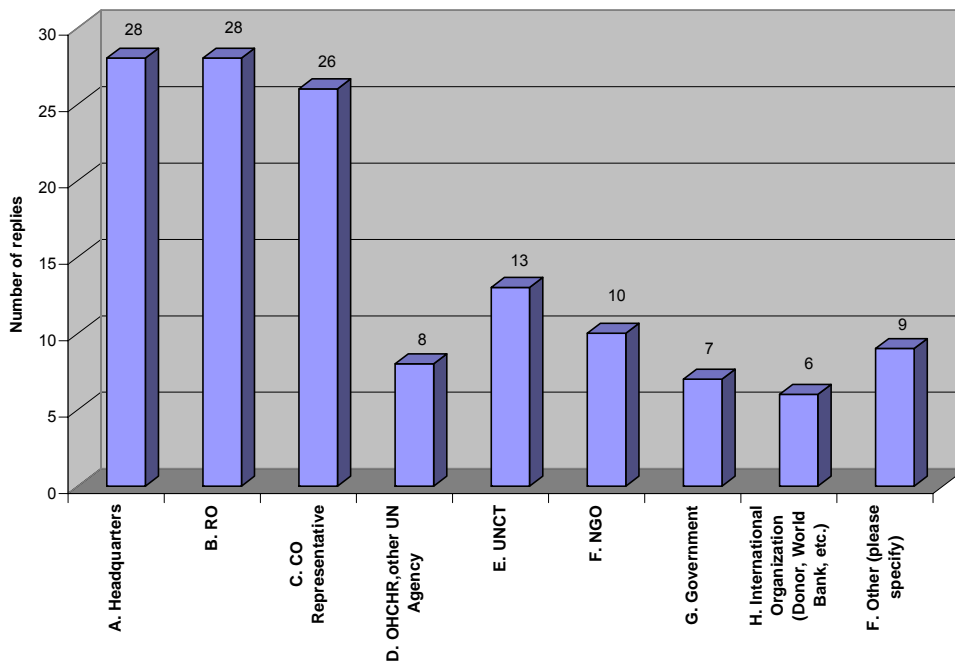
2. Q2: 66% of respondents said they feel familiar with HRBAP and 32% said that they possess HRBAP knowledge but would like to know more about the approach. Two per cent replied that they had little knowledge that is not sufficient to apply HRBAP.

3. Q3: the main impetus for using HRBAP is largely seen as coming from three sources: Headquarters, the Regional Offices and the Country Representatives. There are very few regional variations in this pattern. This confirms the view expressed by many interviewees, that the project is management-led within UNICEF. Demand from UN Country Teams plays some role, but external demand (governments, NGOs) is relatively weak.

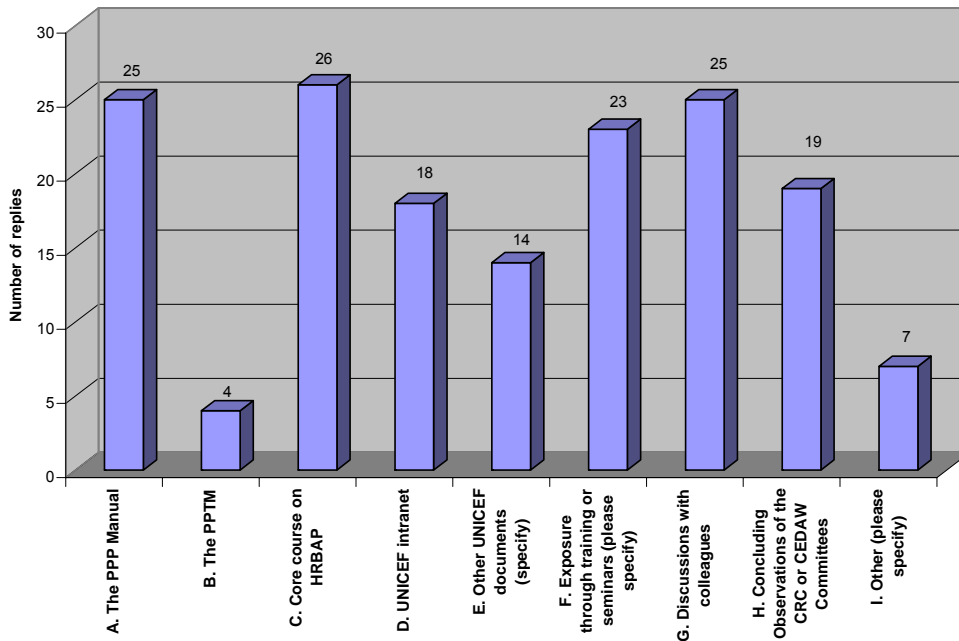
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<sup>19</sup> The offices which responded were: Argentina, Bolivia, Bosnia-Herzegovina, Botswana, Brazil, Burkina Faso, Eritrea, Gambia, Guatemala, Guinea, Iran, Jordan, Kenya, Maldives, Mali, Morocco, Mozambique, Nepal, Papua-New Guinea, Laos, Panama, Peru, Philippines, Senegal, Tanzania, Uruguay, Venezuela, Zimbabwe, as well as the Regional Offices for South and Central America, South Asia, Middle East, East Asia and East and Southern Africa. More than one reply was received from Panama, TACRO and Laos.

**Q3: The main impetus for the use HRBAP comes from**



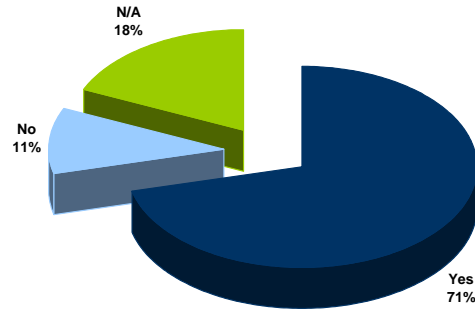
**Q4: Main means of technical support to understand HRBAP**



4. Q4: the main means of technical support to understand HRBAP comes from the HRBAP Core Course, the PPP Manual, discussions with colleagues and exposure through trainings and seminars. In EAPRO, the PPP Manual is rated by 20% of respondents as the main means of technical support. In West and Central Africa, 25% of respondents stated that the concluding observations from the Committee on the Rights of the Child or the CEDAW Committee were a means of technical support. The PPTM is given little credit in relation to HRBAP.

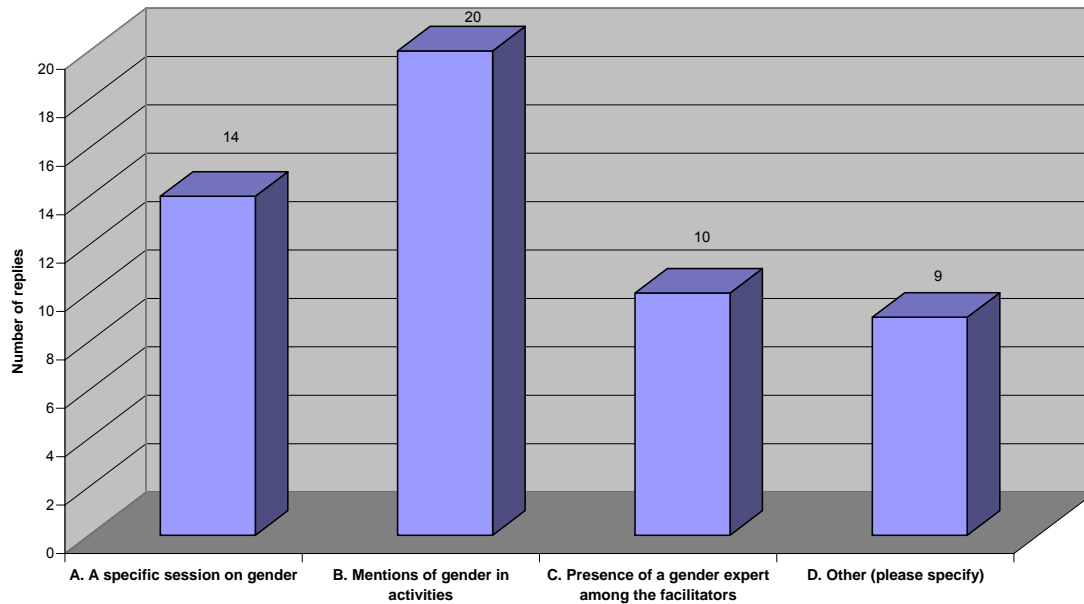
5. Q5b: 71% of respondents said that gender equality was mainstreamed in HRBAP training. A regional peculiarity is that in LAC, only 50% of respondents felt that mainstreaming had been achieved.

**Q5b: Has gender equality mainstreaming been addressed?**



6. Q5c: the vast majority of respondents experienced that gender equality mainstreaming was addressed in HRBAP training through mentioning gender in the activities. Half of the respondents replied that a gender expert was part of the facilitation team. There were no

**Q5c: Gender equality mainstreaming has been address in trainings through:**

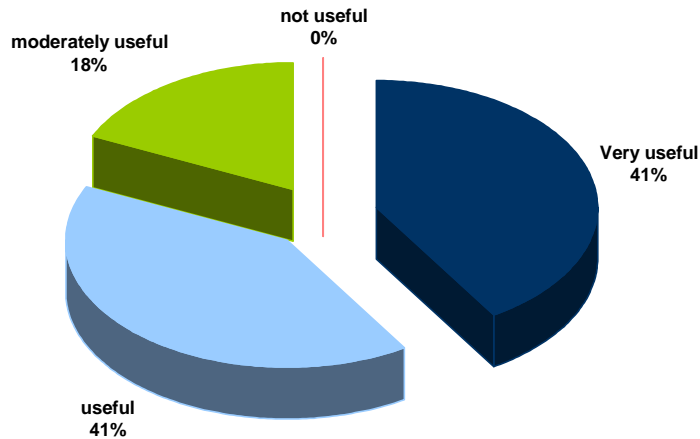


significant regional variations in this assessment.

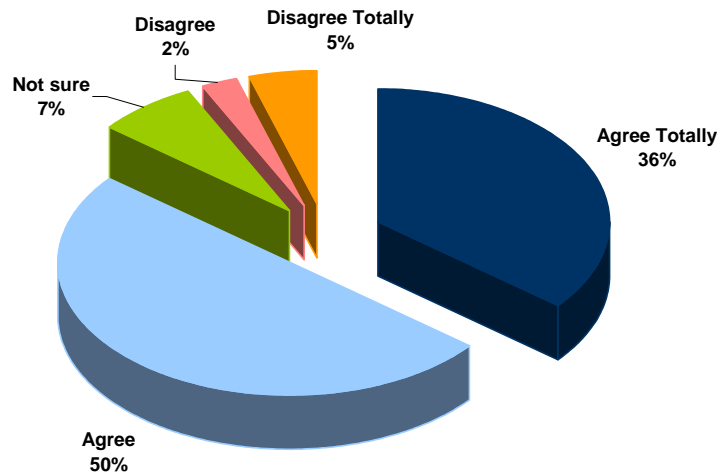


7. Q6: 82% of respondents found HRBAP support very useful or useful.

**Q6: How useful was the support received on HRBAP**



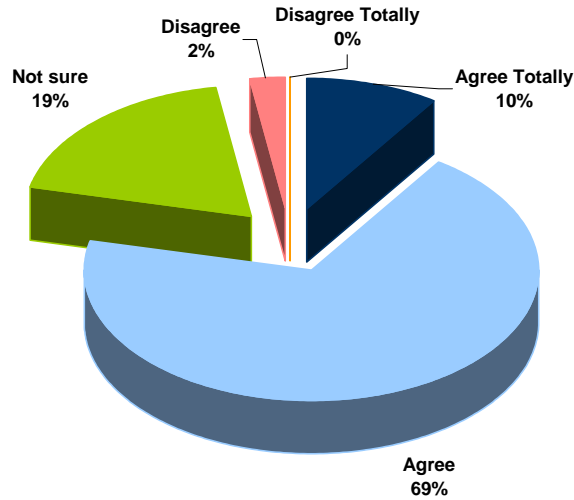
**Q7a: HRBAP offers good analytical tools to identify thematic priorities**



8. Q7a: a clear majority of respondents saw HRBAP as a good analytical tool to identify thematic priorities. However, in South Asia, the majority of respondents were unsure about that statement and in LAC, over 50% of respondents “agreed”, but not totally.

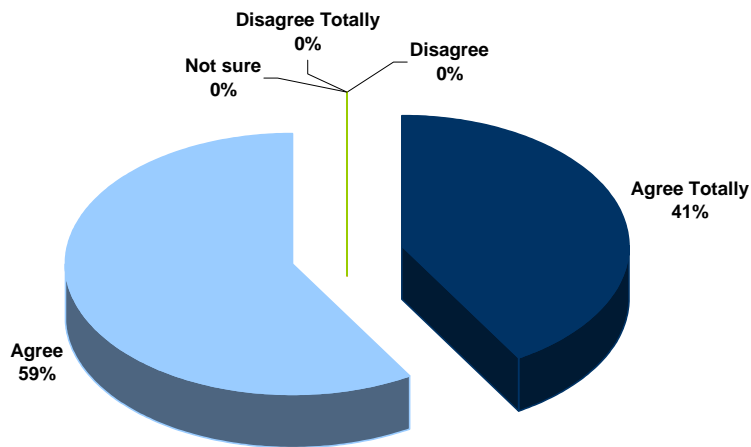
9. Q7b: 69% of respondents agreed that HRBAP helps building consensus with partners. In EAPRO, 40% of respondents were unsure about the consensus building capacity of HRBAP.

**Q7b: HRBAP helps build consensus with partners**



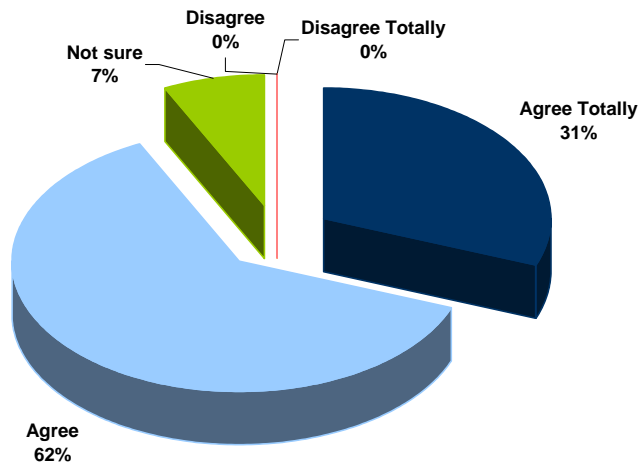
10. Q7c: all respondents agreed or totally agreed that HRBAP helps identify people with the greatest needs. Nearly all staff participating in the survey has a similar perception regarding HRBAP's capacity to deal with gender inequalities.

**Q7c: HRBAP helps identify people with the greatest needs**



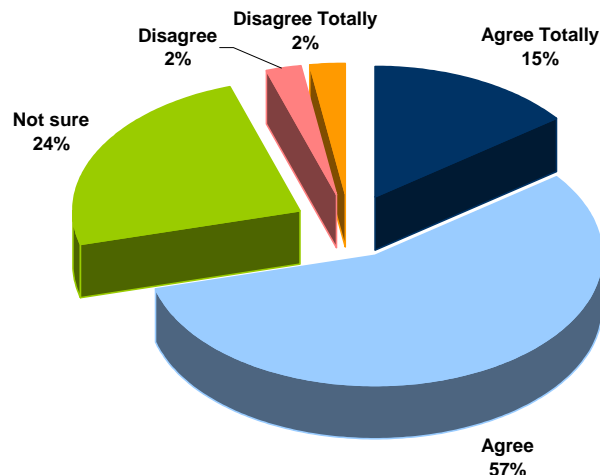
11. Q77d: the overwhelming majority of respondents agreed or totally agreed that HRBAP helps deal with gender inequalities.

**Q7d: HRBAP helps deal with issues of gender inequalities**



12. Q7e: in relation to HRBAP's contribution to the design of crisis response, the majority of respondents agreed (57%) or totally agreed (15%) on its utility. The number of staff who were

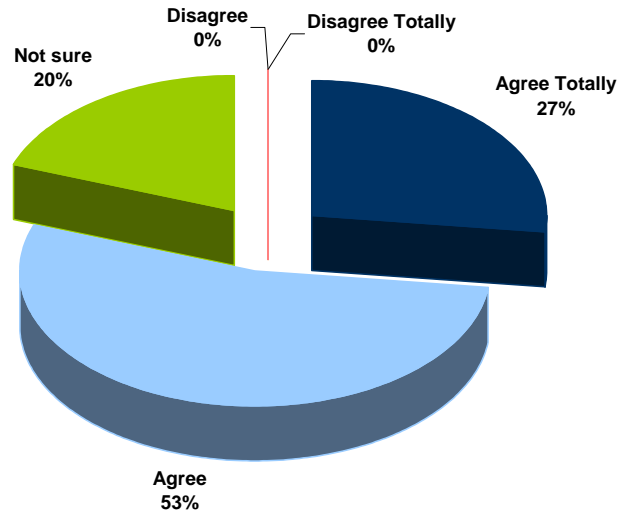
**Q7e: HRBAP contributes to the design of crisis responses**



unsure was 24%. While in EAPRO all respondents agreed or totally agreed, 66% of staff in MENA were not sure.

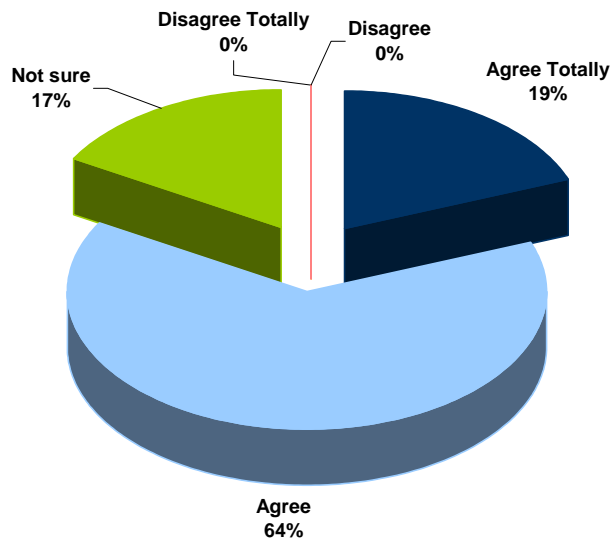
13. Q7f: 53% of respondents agreed or totally agreed that HRBAP helps building capacity within partner NGOs. About a quarter of respondents agreed totally (27%) and 20% were not sure. Staff in ESARO showed the highest degree of agreement with this statement.

**Q7f: HRBAP helps build capacity within partner NGOs**



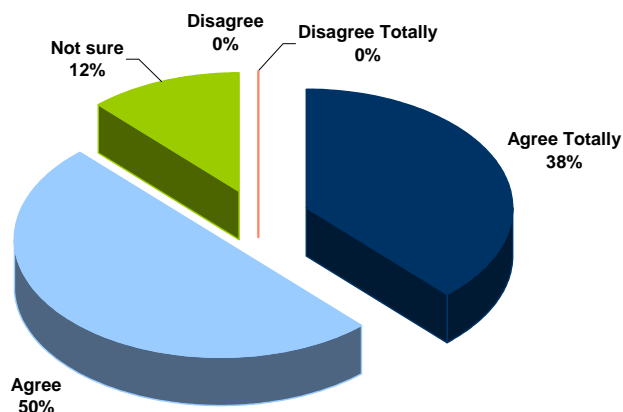
14. Q7g: the majority of respondents agree or totally agree that HRBAP helps build capacity within government agencies (83%).

**Q7g: HRBAP helps build capacity within government agencies**

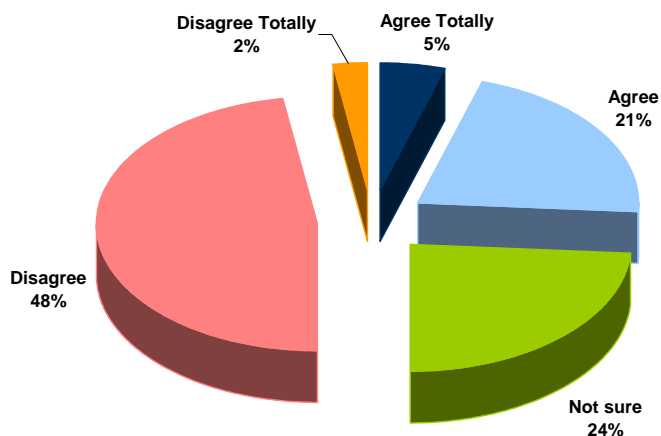


15. Q7h, i: the majority of respondents agreed or totally agreed that HRBAP is a strong platform on which to build UNDAF and joint programming approaches (83%). In EAPRO, 80% of respondents agreed totally, while in ESARO 50% of respondents were not sure. 48% of the respondents did not accept that UNICEF had been unclear about what HRBAP is (see Q7i), but about a quarter of respondents were not sure (24%). In LAC

**Q7h: HRBAP is a strong platform on which to build UNDAF and joint programming approaches**

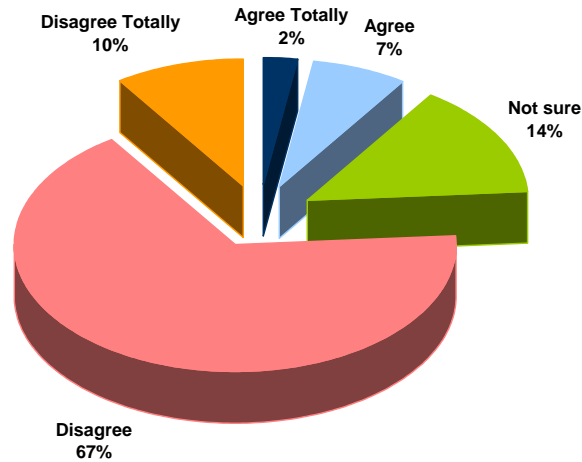


**Q7i: UNICEF has not been clear about what HRBAP is**



approximately one third of respondents reflected critically on this question and replied that they agree. In ESARO 33% of respondents totally agreed with the statement and 50% disagreed. In EAPRO all respondents disagreed with the statement.

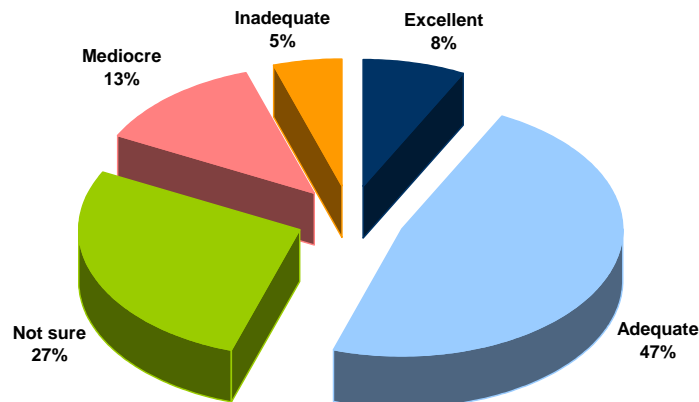
**Q7j: HRBAP makes it difficult to select among priorities**



16. Q7j: a total of 77% of staff participating in the survey replied that they disagree with the statement that HRBAP makes it difficult to select among priorities. The pattern of responses is similar in most regions but in EAPRO, all respondents disagreed with the statement.

17. The following series of questions focus on the adequacy of UNICEF's HRBAP toolkit to meet staff needs in the different areas of work.

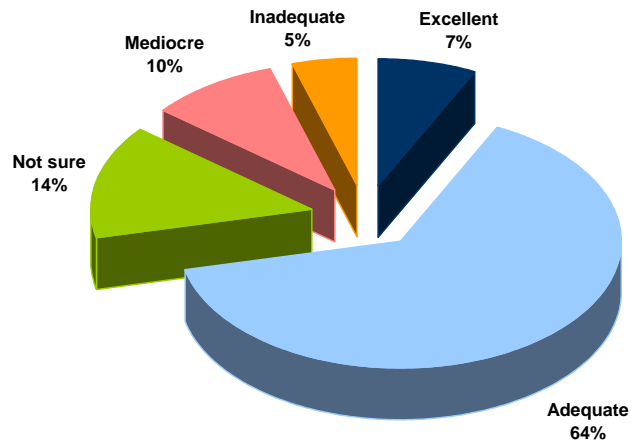
**Q8a: Annual Review of Programme of Cooperation**



18. Q8a: in the case of the annual review, a total of 55% of respondents felt that the HRBAP toolkit is adequate or excellent (8%), but 45% of staff were hesitant: 27% of respondents were unsure, felt that it is mediocre (13%) or even inadequate (5%). There are significant regional variations of this global picture, except LAC. In EAPRO, for 80% of participating staff, the HRBAP toolkit is adequate for the annual review and 20% find it excellent. In ESAR, 50% of

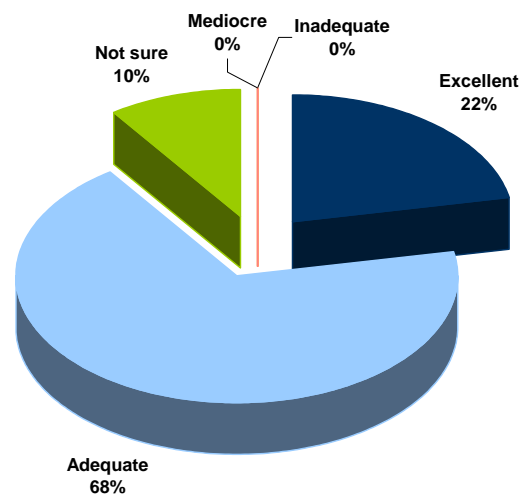
respondents were not sure. In MENA and South Asia, 33% of staff was not sure and 33% found it mediocre. In West and Central Africa, 60% of staff found it adequate.

#### Q8b: Mid-Term Review of Programme of Cooperation



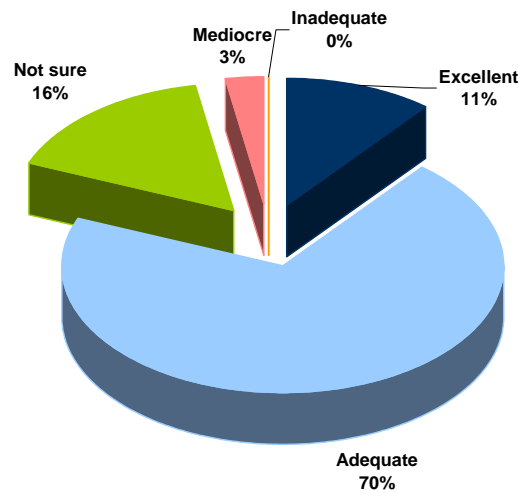
19. Q8b: for 64% of respondents, the HRBAP toolkit is adequate for the mid-term review. In EAPRO, 80% of participating staff find it adequate and in South Asia 67% of respondents were not sure.

#### Q8c: Situation Analysis



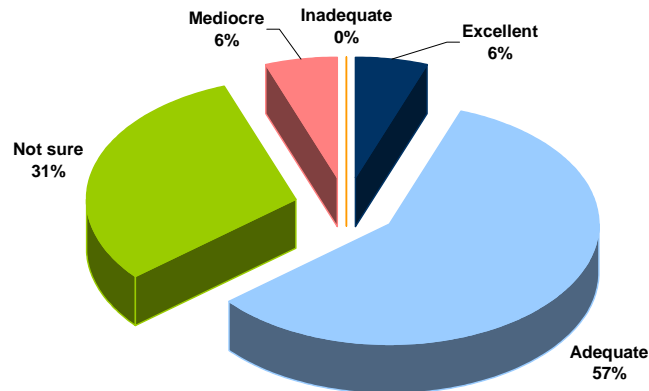
20. Q8c: for a total of 90% of respondents, the HRBAP toolkit is adequate (68%) or even excellent (22%) to help contribute to situation analyses.

Q8d: CCA



21. Q8d: the HRBAP toolkit for CCA is adequate for 70% of respondents and excellent for 11%. In LAC, 79% of respondents found it adequate while in West and Central Africa, 40% were unsure.

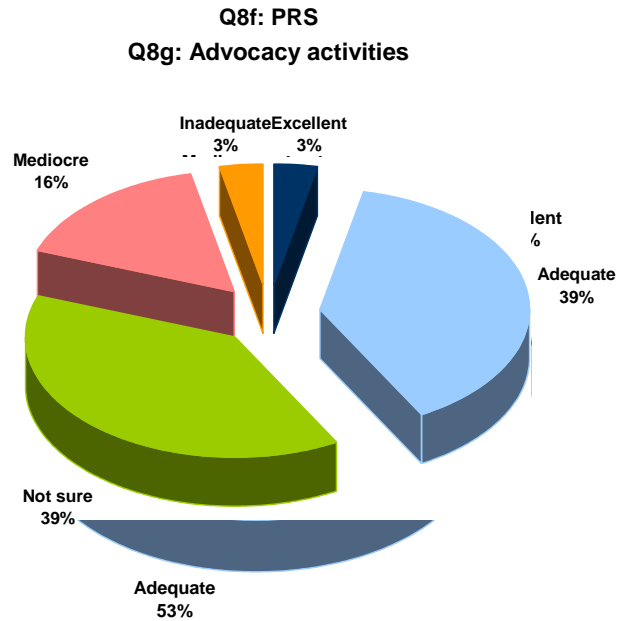
Q8e: UNDAF



22. Q8e: in the case of the UNDAF process, staff were less sure about the adequacy of the HRBAP toolkit than for the CCA. 57% of staff find it adequate while 31% are not sure. But regional variations exist: in LAC, 74% of respondents find the HRBAP toolkit for UNDAF adequate and in EAPRO 75%. In ESARO, 50% of respondents were not sure and in South Asia 67%.



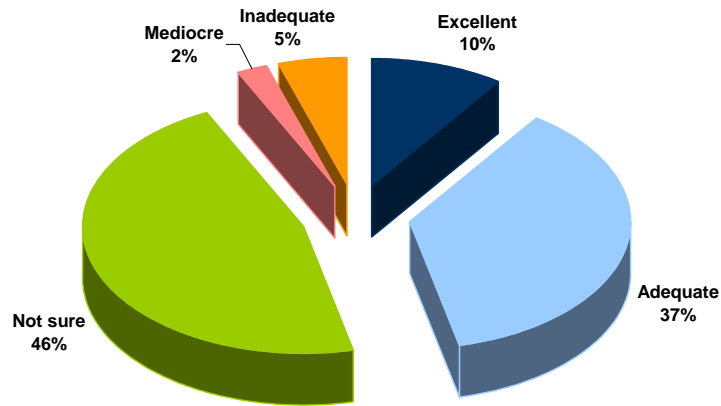
23. Q8f: respondents saw the adequacy of the HRBAP toolkit to the development of Poverty Reduction Strategies (PRS) as inferior to its adequacy to the CCA. As many (39%) found it adequate as were unsure, while 19% of respondents said “mediocre” or “inadequate”. In ESARO, 50% of respondents found the HRBAP toolkit adequate to the PRS and in West and Central Africa 60% of respondents found it adequate. In LAC 55% of staff were not sure and in EAPRO 20% of respondents found it inadequate. In MENA all respondents found it mediocre (even though some countries in the region do not use the PRS process).



24. Q8g: a majority of respondents were satisfied with the HRBAP toolkit for advocacy activities: 53% found it adequate and 27% excellent. In MENA, 67% of respondents found the toolkit excellent for this purpose and in South Asia all respondents found it adequate.

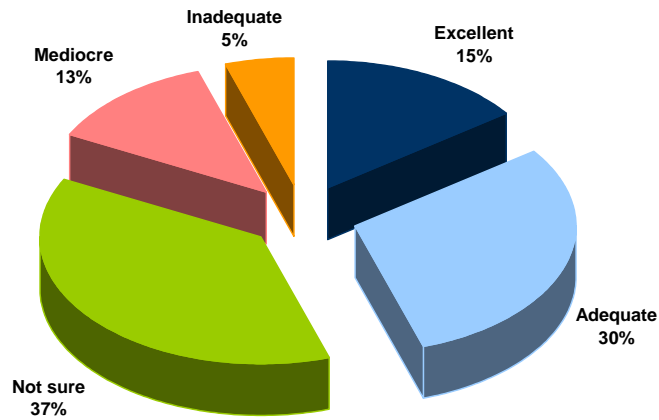
25. Q8h: the opinions of staff regarding the adequacy of the HRBAP toolkit for fundraising

**Q8h: Fundraising proposals**



proposals were very diverse. Nearly half of the staff were unsure about its adequacy (46%), 37% found it adequate and 10% excellent. The regional differences are worth noting: in EAPRO, 60% of respondents were not sure, 67% in MENA and South Asia. While 33% of respondents in MENA found the toolkit excellent for fundraising proposals, 60% of respondents in West and Central Africa found it adequate and 50% in ESARO.

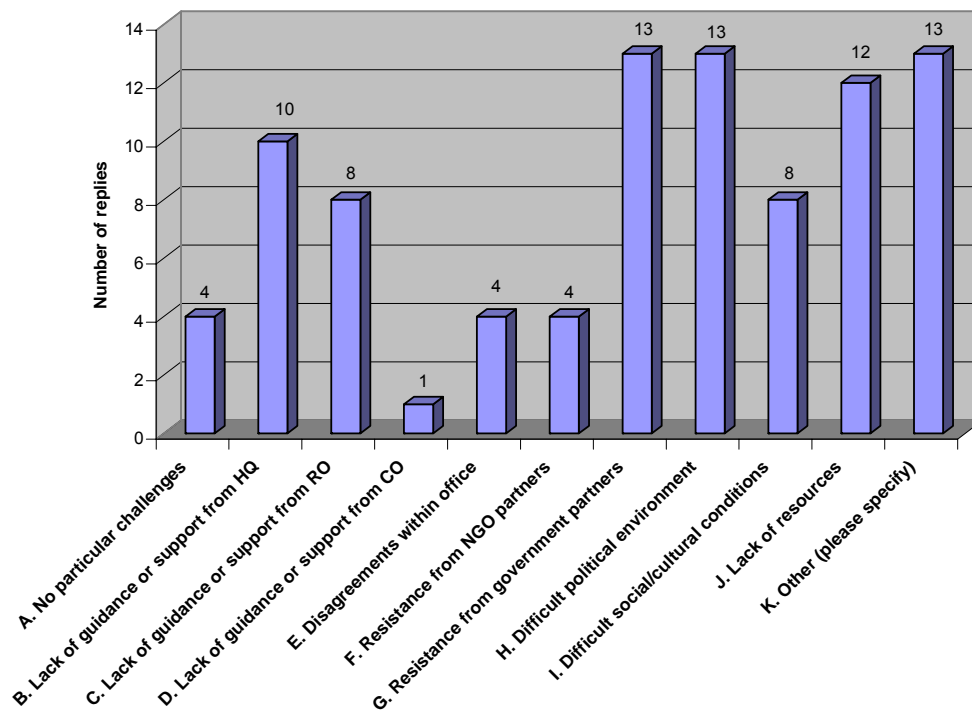
**Q8i: Dealing with political changes in country or region**



26. Q8i: the views of respondents from different offices are also quite diverse in the case of the adequacy of the HRBAP toolkit to dealing with political change. About 30% of respondents found the toolkit adequate for that purpose, 37% were not sure, 15% found it excellent, 18% found it mediocre (13%) or inadequate (5%). Again there are large regional differences: in LAC, 28% of respondents found the HRBAP toolkit excellent and 44% adequate in relation to political change. In EAPRO, 80% of respondents were not sure about its adequacy, in ESARO 49% and in MENA 67%. Furthermore, 33% of respondents in MENA found it mediocre. In South Asia, 33% of respondents found the HRBAP toolkit adequate and 67% were not sure. In West and Central Africa 50% of respondents were not sure and 50% found it adequate.

27. Q8j: About 45% of staff found the HRBAP toolkit adequate for dealing with social or economic changes in country, 12% found it excellent, 34% were not sure and 9% found it mediocre or inadequate. In EAPRO and West and Central Africa, 60% of respondents were not sure. In LAC 45% of respondents find the HRBAP toolkit adequate for dealing with social or economic changes in country and 22% excellent. In ESARO, 49% were not sure and found it 34% mediocre (17%) or inadequate (17%).

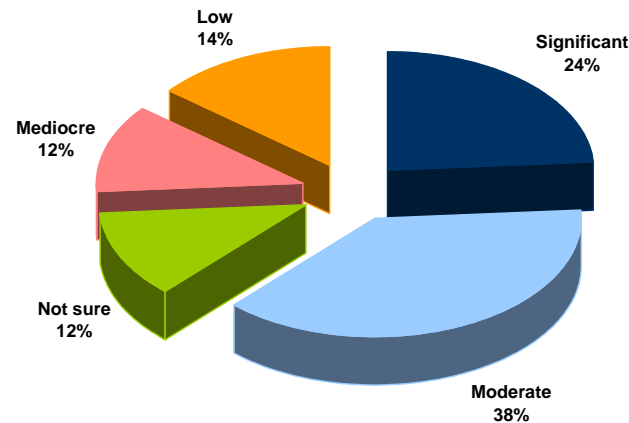
**Q10: Which major challenge(s) does your office face in implementing the HRBAP**



28. Q10: the major challenges for implementing HRBAP can be classified in two main categories. Primary challenges are resistance from government partners, a difficult political environment and lack of resources. The first two challenges are external; the last one is internal. The secondary challenges are lack of guidance or support from HQ and RO and difficult cultural conditions. The first two challenges are internal, the last one external.

29. In LAC, respondents perceived the lack of guidance from HQ as the 2<sup>nd</sup> major challenge, among others that are also at that same level. In MENA, the lack of HQ and RO guidance was seen as the major challenge, among others. In West and Central Africa, the lack of guidance is the major challenge of implementing HRBAP, according to respondents.

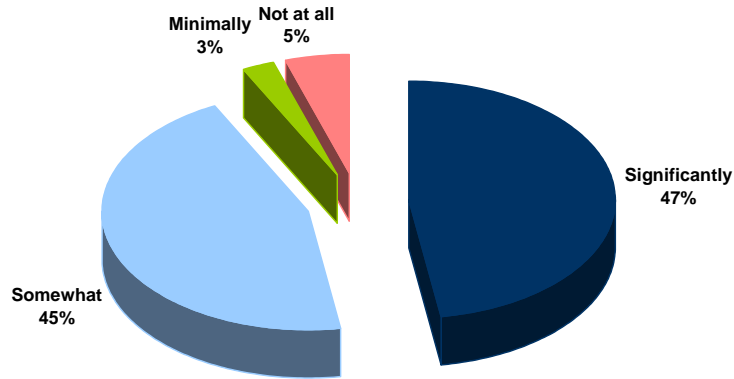
**Q11a: To what extent has UNICEF been able to disseminate good examples of HRBAP and to help cross-fertilisation between offices?**



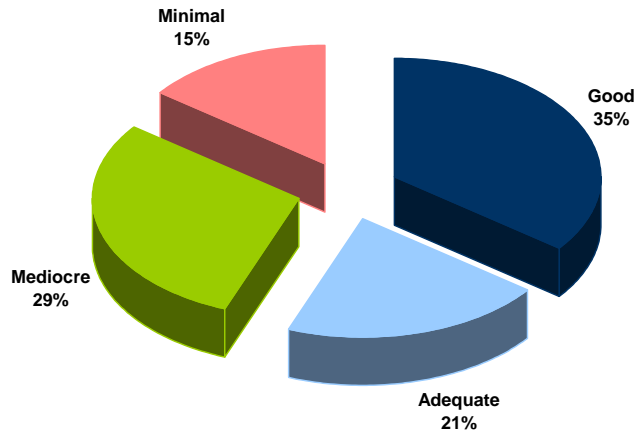
30. Q11a: from a global point of view, there is a diverse picture of respondent's opinion of the capacity to disseminate good HRBAP examples and to help cross-fertilisation between offices. About 62% of respondents felt that the capacity was significant (24%) or moderate (28%), 38% were not sure (12%), felt that it was mediocre (12%) or low (14%).

31. In EAPR, 60% of respondents felt that the capacity to disseminate good HRBAP examples and to help cross-fertilisation between offices is adequate, 20% felt that it is significant and also 20% that it is low. In LAC, 36% of respondents feel that the capacity is significant while 21% feel that it is low. For 67% of respondents in MENA the capacity is mediocre and 67% of respondents in South Asia were not sure. In West and Central Africa, 20% of respondents found the capacity significant, 40% adequate and 20% mediocre.

**Q12: How has HRBAP altered your approach to programming and your experience of implementation?**

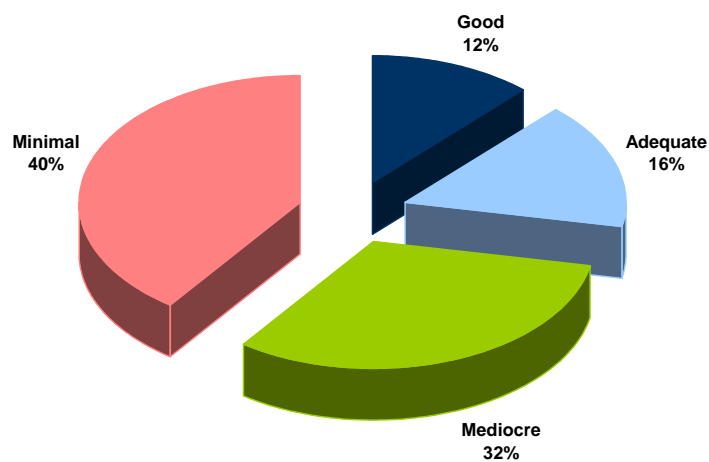


**Q14: How do you assess the influence of the HRBAP on the CCA/UNDAF process?**



32. Q12 and 14: 92% of respondents felt that HRBAP altered their approach to programming and their experience of implementation significantly (47%) or somewhat (45%). About half of the respondents assessed the influence of the HRBAP on the CCA/UNDAF process as good (35%) or adequate. The other half felt that influence to be mediocre (29%) or even minimal (15%). In LAC, 64% of respondents assessed the influence as excellent, 33% in ESARO, while another 33% of ESARO respondents assessed it as mediocre.

**Q15: How do you assess the influence of the HRBAP on the PRS process?**



33. Q15: in comparison with the CCA/UNDAF process, respondents were more sceptical about HRBAP's influence on the PRS process: 40% found it minimal and 32% mediocre. Again there were some regional variations: in EAPRO, 67% of respondents found the influence of HRBAP on the PRS process mediocre and 33% found it minimal. In ESARO 33% of respondents found the influence mediocre and 50% minimal. In South Asia and West and Central Africa, the picture looks as follows: 50% of respondents found HRBAP's influence on the PRS process minimal. In West and Central Africa, 50% found it adequate and in South Asia 50% found it mediocre.

**3.2 Findings from the questionnaire analysis**

34. There are many instances where different regions respond differently to the same question. This can be explained by three causes:

- Prevailing regional trends and patterns. As suggested in Section 2.4, there are regional differences in approach to HRBAP (and to human rights in general) by UNICEF. In some regions, such as MENA, political sensitivities in relation to human rights also play a role.
- The small pool of respondents tends to emphasise statistical differences. With less than five respondents per region on average, the responses of just one person may significantly change the way a whole region looks in comparison to another.
- Personalities play a key role. UNICEF staff who have worked with, or been trained by, some of the key proponents of HRBAP within the organisation appear to have above-average understanding of the project. This, combined with the point above, may tend to over-emphasise differences.

As a result of the above remarks, it is suggested that the regional differences should be used more as a sign that "work remains to be done" to clarify a given point, rather than to compare one region with another.

35. The respondents display a very high level of awareness of HRBAP. This is understandable in the sense that most respondents were senior professionals dealing with programming. In addition, almost two thirds of the offices which responded to the questionnaires had been involved in case studies conducted as part of the HRBAP project – these offices were therefore more likely to be familiar with HRBAP than others. The consultants were not able to detect other consistent patterns differentiating the responses of offices which had created case studies from the others.

36. HRBAP is perceived by the respondents as being overwhelmingly a Headquarters and management-led process (at regional or country level). This confirms the view expressed almost unanimously by interviewees in all regions, that the progress of HRBAP in the field depends on the commitment and leadership of Regional Directors, Country Representatives and Senior Programming Officers.<sup>20</sup> The regional variations in respondents' sense of clarity about what HRBAP is (question 7i) also suggests that there is a relationship between regional management's history of involvement with HRBAP and staff's understanding of the issue.

37. Respondents seem satisfied that gender is appropriately mainstreamed in the HRBAP material. This is a valuable element, particularly in view of the fact that several interviewees have been critical of the insufficient level of gender mainstreaming in UNICEF programming in general.

38. In the eyes of field personnel, the local UNCT is rarely seen as providing the impetus to adopt HRBAP – indeed several interviewees noted that it is often UNICEF which pressures the UNCT to use HRBAP, not the opposite. Outside “demand-led” pressure to use HRBAP is minimal, be it from governments, NGOs or donors (interviewees have noted that donors are not usually putting pressure on projects they support to be grounded in a human rights-based approach).

38. The support for implementing HRBAP is primarily coming from the PPPM and training materials and courses, while “discussions with colleagues” play a major role alongside the written materials. It is notable that the PPTM is rarely mentioned as a valuable source of support – calling perhaps into question the relevance of the HRBAP project contribution to it.

39. In relation to the use of HRBAP in specific circumstances, most respondents believe it to be helpful in identifying thematic priorities. However there is a clear contrast between the (positive) assessment of HRBAP tools in relation to the CCA process and to situation analysis, and the (much more uncertain) assessment of the tools in relation to UNDAF (questions 8c, 8d and 8e). This may be an indication that the UNDAF process itself is less flexible than the assessment process which precedes it, or that HRBAP tools are more

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<sup>20</sup> However, SPOs have noted that the familiarisation of more junior staff with HRBAP is essential to contribute to UNICEF's own programming and, crucially, to help expose government and NGO partners to the approach: this task is often carried out by national officers in their day-to-day communications with government counterparts and NGO partners. They do not always have access to training and may not be fully at ease with material in English, French or Spanish: this may hamper both their ability to understand HRBAP and their motivation.



analytical than directly programmatic. In this connection some interviewees have noted that CCA findings were not always translated into programmatic priorities, in part because of the “legacy” of the existing portfolio of projects, and also because externalities such as the political climate slow down changes in the project portfolio. In relation to crisis response, respondents seemed somewhat sceptical of the relevance of HRBAP, because of the time pressure aspect.

40. While HRBAP is seen as relevant to a wide range of UN mechanisms, it is noticeable that relatively few respondents see it as relevant to the PRS process.<sup>21</sup> There are, however, some regional differences on this issue, which may reflect different levels of familiarity with the PRS process in different regions. The uncertainty expressed by respondents about the relevance of HRBAP to the PRS process is of some concern in view of the increasingly central role played by the PRS process in development programming, particularly in poorer countries. Similarly, a fairly low proportion of respondents felt that the HRBAP was suited to deal with political and economic changes. This suggests a relatively widespread uncertainty about the relevance of a human rights-based approach to dealing with economic issues, and to overcome political instability. This too is of some concern, particularly because economic development and growth are assuming a central role in development strategies, and because peace-building and post-conflict work are key priorities for the international community: UNICEF staff do not seem convinced of the relevance of HRBAP in these particular contexts.

41. The respondents have identified resistance from the local government and lack of resources as two of the main factors hindering the further development of HRBAP. However the lack of adequate guidance from Headquarters and Regional Offices is also cited as a challenge, which is surprising in view of the volume of guidance available. This suggests that the guidance may not be as accessible, streamlined or specialised to the extent that it is readily useable by staff.

**42. The analysis of the questionnaire suggests that the following aspects should be taken into account in the design of any new phase of the HRBAP project:**

- **Ensuring that the commitment to HRBAP at management (regional and country levels) is reinforced and becomes more uniform (see box below);**
- **Ensuring that training materials on HRBAP are easier to identify and available in a variety of languages appropriate to the needs of international and key national staff;**
- **Ensuring that HRBAP can be more closely articulated with the PRS process (including through consultations with the World Bank) and that appropriate guidance and support is given for HRBAP to tackle issues of political change and peace-building.**

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<sup>21</sup> The records of the Second Interagency Workshop on Implementation of HRBAP in the context of UN Reform (Stamford, USA, May 2003) show that the World Bank shares this scepticism. At that time, its representative stated that the Bank was unready to adopt the approach in its own programming.

## **How to ensure that the commitment to HRBAP at regional and country management level is reinforced and becomes more uniform?**

Interviews at Regional Offices with managers, including Human Resources experts, indicate that the implementation of HRBAP could be enhanced by building on existing Human Resources policies and processes. The following modifications of existing recruitment policies and procedures form the basis of recommendations in Section 11.2 of this report:

### **1. General recruitment process**

While existing Human Resources policies and procedures do allow a focus on HRBAP during the recruitment process, they are not compulsory and depend on the interview panel. A change in the existing procedures, to make questions on HRBAP mandatory, might be helpful.

### **2. Recruitment of country representatives**

The competency profile for country representatives is very rich and includes HRBAP among many other skills. As the selection of a country representative is based on the recommendations of the Regional Director, it should be ensured that HRBAP is addressed in these recommendations. This is currently not the case and HRBAP may not always be given due consideration. This situation should be rectified in the Human Resources procedures by ensuring that familiarity with, and the record of implementation of, HRBAP by the prospective manager are explicitly addressed.

### **3. International postings**

For international staff joining UNICEF externally there is an option to assess HRBAP capacity *after staff is in post*. It is implicitly understood that this should happen within 12 months but it is recommended to make this time limit explicit.

In the case of Country Representatives, the Regional Director or the Deputy Regional Director and a panel undertake the assessment of HRBAP capacity. The assessment applies the UNICEF competences profile for country representatives and uses the competences as a set of indicators. In the assessment positive as well as negative issues are highlighted and are accompanied by a development strategy to overcome the weaknesses and to build on the strengths. This is another reason why HRBAP should be a central competence in the profile (see point 2). The focus on country representatives is important as at the country level the country representative undertakes the same assessment for SPOs.

### **4. Interview process**

Furthermore, interview protocols should be made compulsory and standardised in a way that HRBAP cannot be avoided during interviews. This could help to prove whether HRBAP competences have been assessed during the interview.

## 4. Human Resources Development

1. The activities under this sub-project were mostly carried out at HQ level, with the exception of training and other support activities, which were done in part at regional level. The main activities were:

- Contribution to the development of training materials: this included contributions to the PPPM and PPTM; the updating of the Core Course on HRBAP developed during Phase 1 of the project; contribution to the Integrated Early Childhood Development (IECD) Resource Pack; and translations into French and Spanish of some of the materials.
- Training of facilitators in HRBAP: drawn from ROs, COs and HQ, the facilitators were due in turn to train colleagues and other UN personnel in their region. Sessions took place in the CEE/CIS, MENA, WCARO and ESARO regions.
- Contribution to the MTSP: surveys on learning needs on priorities such as child protection and HIV/AIDS.

### 4.1 From policies to guidance materials – the case of the PPPM

2. The Programme Policy and Procedure Manual is the “core reference for the overall UNICEF programme guidance system”.<sup>22</sup> It results from the cooperation of a wide range of UNICEF staff, coordinated by the Organisational Learning and Development Section (OLDS). The PPPM places HRBAP at the top of its first section, dealing with the operations framework. It introduces a number of key notions and strategies, such as:

- Identifying unfulfilled children’s rights through situation analysis and monitoring;
- Articulating claims (by rights-holders) through advocacy and social mobilization;
- Planning the fulfilment of duties through accountability mechanisms and support to national planning; and
- Supporting actors (duty bearers) through technical, material, financial assistance and information.

3. The PPPM defines UNICEF assistance as aiming primarily to “strengthening national and local capacities for effective action for children’s and women’s rights, where programmes and projects are requested by and jointly designed and monitored with national partners.”

4. The PPPM section on HRBAP sets out the key features of human rights (universality, indivisibility and interdependence) as well as the key principles of their realisation: best interests of the child, participation and accountability in particular, and highlights their relevance in humanitarian situations as well as in general programming. It highlights the necessity of appropriate processes (participation) and the guidance for prioritisation set out in the MTSP (the priorities being: Girls’ education, IECD, Immunisation plus, HIV/AIDS and Protection). The PPPM also the important role of the reporting process on CRC and CEDAW (and the guiding value of the comments by the respective treaty bodies on each government’s implementation of these instruments).

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<sup>22</sup> PPPM, May 2005 revision, p.1. The material referred to in this section is in p. 1-19.

5. The manual builds on the work done by the Human Rights Unit in recent years and on the learnings from the earlier phase of the HRBAP project, by clearly setting HRBAP in its strategic and policy context. This is recognised by some of the previous evaluations reviewed for this report.<sup>23</sup> However, the manual remains very theoretical and lacks the practical advice that many UNICEF staff say they need.

6. While not being deliberately prescriptive of a particular approach, the manual lacks a deliberate, pro-active encouragement of a variety of HRBAP approaches. It contains no direct reference or links to the many case studies conducted by the HRBAP project, although these could potentially be of interest to staff across regions. The very complexity of the manual suggests that the “correct” way of programming has to take the whole of the manual’s advice into consideration. The inclusion of practical examples could go a long way towards encouraging creative and diverse approaches.

7. The UNICEF staff interviewed value the conceptual models provided by the manual and other guidance documents such as the PPTM, the IECD and Core Course, but they have repeatedly stated that this was not their primary concern: they said they needed examples of different approaches, allowing them to select their own approach according to their local circumstances.

8. There is an additional concern about the PPPM: it is questionable whether its current format is the most appropriate to current circumstances at UNICEF. The manual as it currently stands (May 2005 version) is a 259-page document; it is updated about every 12 months but its size makes it difficult to handle. While it advises users to consult it online, its length makes it relatively difficult to use without printing out whole chapters. The evaluators have noted that the PPPM refers to so many additional documentation – such as financial regulations and policy directives which may be published between two PPPM updates – that many staff seem unsure, even when they have access to the Intranet and to the latest hard-copy version, that they have all the up-to-date programming information they need – this seems to increase the uncertainty some staff experience in relation to HRBAP. The “Short Guide to UNICEF Programme, Policy and Procedure” is more user-friendly but somewhat undermined by the PPPM’s advice that the full manual should be used.

**9. It would probably be appropriate, subject to consultations with a panel of users, to review the format of the PPPM and the way it is updated. The following approach should be tested with OLDS and users:**

- Each section of the PPPM should be laid-out as a stand-alone document (subject to some short sections being merged into one), each with a short (two computer screens) summary.
- Each section should be illustrated with country examples, preferably from more than one region, and with thematic examples where relevant.

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<sup>23</sup> See for example, among recent reviews, Theis, 2004, p. 61: “the current version of the PPPM makes important contributions towards operationalising HRBAP in UNICEF.”

- Each section should be updated as soon as new guidance concerning it is published, so that staff using the PPPM thus updated can be confident that they are using the latest, correct information.
- Hard copies, where needed, should be issued in a loose-leaf binder, allowing for the inclusion of new material and updates without reprinting the whole text.
- The electronic version would benefit from hyperlinks to specific examples of good practice in HRBAP, such as specific sections of relevant case studies and sections of training materials.

#### **4.2 Training**

10. The Human Rights Unit and other senior staff working with it appear, according to interviewees, to have exercised a genuine intellectual leadership within UNICEF. This was done through publications, meetings and particularly through training sessions, which participants have widely described as challenging and effective. Even participants previously familiar with the principles of HRBAP praised the capacity of some of the trainers to mobilise and motivate staff into using HRBAP more systematically.

11. Overall, 24 regional facilitators were trained by November 2002 and over 400 staff were reported to have been trained in HRBAP between 2001 and 2002<sup>24</sup>. In addition, 137 members of staff from 22 COs in CEE/CIS had participated in HRBAP training by October 2003<sup>25</sup>. By October 2004, over 500 staff had passed the final test of the computer based PPT course<sup>26</sup>. To the evaluators' knowledge there is no systematic compilation of the names of all the UNICEF staff who have undergone HRBAP training, which makes it impossible to carry out systematic, organisation-wide follow-up targeted at those who underwent the training.<sup>27</sup>

12. The training, beyond the quality of the trainers and the motivation derived from it by participants, did not fully meet expectations. The following concerns in particular were identified by participants and others:

13. In the initial stage of the project, too few facilitators and staff were trained<sup>28</sup>. The trained facilitators barely have time themselves to further train other people, despite their best efforts and commitment. Those of them who work in ROs travel extensively and find it difficult to block off the time needed for a full follow-up training session. Moreover, budgets for organising such sessions seem low.

14. Language fluency has also been cited as an issue: while professional international staff are comfortable in English, staff at more junior levels, including staff interacting with senior government officials in their own country, do not always master English sufficiently to be able to make best use of training material in English. While the Human Rights Unit has translated some of the training material into French and Spanish, such

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<sup>24</sup> Project Report: Strengthening UNICEF Humkan Rights-Based Programming Phase 2 – draft 2, UNICEF, December 2002

<sup>25</sup> Project Report: Strengthening UNICEF Humkan Rights-Based Programming Phase 2 – draft 2, UNICEF, October 2003

<sup>26</sup> Project Report: Strengthening UNICEF Humkan Rights-Based Programming Phase 2 – draft 2, UNICEF, October 2004. The figures include reports of training carried out under sub-project 4.

<sup>27</sup> However there are more informal mechanisms, such as email lists maintained by the Human Rights Unit and trained facilitators.

<sup>28</sup> Moser&Moser (2003) assessed that the percentage of CO's carrying out HRBAP training had declined from 15% in 2001 to 9% in 2002.

translations are generally mere summaries or short versions of what is available in English. Languages such as Arabic have not yet been covered.

15. In addition, training follow-up has been limited: neither the trained facilitators nor the staff of the Human Rights Unit themselves have the capacity to provide the level of support which UNICEF staff who have undergone the training often require. As a result, a number of people who have come into contact with HRBAP through training have conceded that they have not subsequently made significant use of the acquired skills.

16. HRBAP trainers have sometimes come across to trainees as denying the validity of the programming skills acquired by staff who have not undergone HRBAP training. Some staff, particularly long-standing UNICEF employees who have worked in programming for years, sensed that they were requested to “unlearn” some of their skills. Staff who underwent training since 2004, however, did not report such a concern – on the contrary there was an emphasis on affirming the human rights validity of such long-term UNICEF practices as participatory planning and concern for the most vulnerable.

17. The “cascade training” approach (in which trained facilitators train others), while sensible in principle, can only work effectively if the facilitators are given the appropriate support and time to give further training. Facilitators, senior professionals with heavy workloads, effectively had to use their own initiative to pass on the training: their Regional Director or Country Representatives did not always prioritise the need for them to have time to conduct further training, and the Human Rights Unit did not systematically liaise with them to provide further information and support (although it did respond to requests it received).

18. These concerns are reflected in surveys and interviews about the relevance of the skills and competencies acquired by staff through the HRBAP project. The problems seem to stem from the following factors:

19. *Under-resourcing.* The training programme on HRBAP was simply too small to make an organisation-wide impact. The number of facilitators is out of proportion to the need for support: the questionnaire showed the importance of “discussions with colleagues” (question 4) and many interviewees highlighted the value of “horizontal” learning – exchanges of visits and ideas amongst colleagues of similar rank – a process which demands more availability than the facilitators (and other staff with recognised HRBAP competences and interest) currently have.

20. *Use of the Intranet.* An excessive reliance on the part of the Human Rights Unit on the impact of information and guidance being available to staff. The Intranet undeniably contains a wealth of information about HRBAP, including in the form of training packages. However, the mere availability of this material does not make it relevant if it is not easily accessible in a format that sets specific, practical advice apart from general descriptions and policy statements. There are also issues of internal advocacy for HRBAP and leadership by senior management, which are addressed in chapter 9.

#### ***4.2.1 The missing link***

21. While staff believe that the understanding of the principles of HRBAP has been developed, they state that there is a “missing link” between these competences and the capacity to design and manage actual rights-based programmes<sup>29</sup>. The views below are typical of those heard by the evaluators during their field visits, and are given with comments by the evaluators.

- 22. *There is a missing link between the theoretical description and the procedures for implementing specific activities based on HRBAP.* This is the most widespread concern about the guidance and training. It has the following dimensions:
  - *Examples of good practice.* As set out above, staff wish to be given guidance in how to implement the HRBAP principles
  - *Validation of the approach.* It is necessary to show, through examples of positive human rights outcomes, that the HRBAP approach, including rights-based analysis and the other aspects set out by the PPPM (see section 4.1 above) are valid. This validation is required to ensure that the HRBAP methodology is not seen merely as a management-imposed obligation, but gain legitimacy through results.
- 23. *The lack of opportunities for mainstreaming (the “how”, not the “what”) was frequently raised among staff of all levels and specialisation.* This concern highlights the widely shared sense that, even when programming follows HRBAP guidelines, actual project activities seem often to be conducted with little concern for the principles set out in the HRBAP guidance, particularly in relation to participation of beneficiaries. Examples of rights-based approaches at project levels could probably contribute to addressing this concern.
- 24. *There is a disconnect between COs and HQ thinking on HRBAP.* While there is no divergence on the principle of HRBAP, it seems COs often take a cautious approach in its implementation, primarily because of concern over their relationship with the government. The highly decentralised UNICEF approach to management may also play a role in this divergence, because Country Representatives do not seem to be under systematic pressure to report on implementation of HRBAP as part of their own performance assessment process.

#### **4.3 Conclusions and recommendations on human resources development**

25. The Human Resources Development sub-project has largely delivered the required outputs. The Human Rights Unit contributed to a wide range of training materials and commissioned training that was appreciated. Despite shortcomings noted above and addressed in the recommendations, the sub-project was relevant to UNICEF’s needs. It was most effective in relation to those staff who attended training sessions. The effectiveness of the self-teaching training packages is difficult to assess, something that is not specific to HRBAP.

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<sup>29</sup> The literature reviewed also acknowledges the importance of this issue: Raphael (2004) stresses the need for addressing operational obstacles and the “Joint questionnaire analysis” asks for practical training and examples of best practice.

26. The deficiencies of the HRBAP training process were predictable: trainings based on the TOT “cascade” model are known to lose effectiveness at each step. Trainings based on self-teaching have the limitations inherent to the lack of interaction with a group and with mentors who can validate innovation brought about by trainees. However the greatest flaw of the training process is that it was not immediately and systematically followed-up in practice, with support to trainees and the mobilisation of managers to help implement the new skills. Resource limitations probably explain why the approach was taken despite its known limitations. However, it is important that these weaknesses be addressed in future, by ensuring a greater capacity for post-training support of trainees, and making more explicit the commitment of UNICEF’s management to HRBAP.

**27. It is recommended that any further phase of the HRBAP project should include a further round of training for HRBAP facilitators, in addition to the PPT carried out under sub-project 4, including enough staff from each region to help create or sustain a momentum for follow-up which could overcome staff turnover and allow the facilitators to share the follow-up workload. A minimum of four staff per region is recommended.**

**28. The facilitators should commit to spending the equivalent of two days per month on follow-up to their training during the year following the training, and should receive the formal support of their Director or Country Representative to do so. The Human Rights Unit could work with the facilitators to plan the follow-up by conducting a needs analysis in their region. In some cases, facilitators could be called upon to contribute to the further development of training material on specific situations.**

**29. The training for facilitators should be reviewed, in consultation with a panel of previous trainees, HRBAP specialists and experienced trainers, with a view to enhance the practical advice aspect (including, for example, practical exercises) and the relevance of the training to UNICEF and other UN Agencies.**

**30. A training course should be developed, aimed at managers (Country Representatives, Regional Directors and Headquarters managers). This one-day course should be devised from a management point of view (setting/approving strategies, agreeing milestones, controlling costs and ensuring accountability and interagency coordination). This training should be available once or twice per year, probably on the occasion of international meetings.**

**31. Further training should be developed for specific situations such as programming in emergencies, conflict, etc. Some of this could be based on initiatives from regions under sub-project 4.**

**32. A survey should be undertaken to assess the needs of national officers (and partners) for translations of training materials. The translation tasks should be shared between Headquarters and Regional Offices.**



## 5. Assessment, documentation, dissemination of country experience

1. The key activities carried out under the sub-project on “assessment, documentation and dissemination of country experience were the following:

- Reviews of country and regional programmes and strategies to assess their consistency with HRBAP;
- Thirty-five country, regional and thematic case studies on various aspects of HRBAP;
- Global consultations on HRBAP in UNICEF;
- Dissemination of information through web-based channels and in other formats, on specific issues such as tackling exclusion; and
- Contributions to the development of MTSPs, to the Inter-Agency Task Force on Action 2 and to other UN-wide consultations (two rounds of Stamford processes)<sup>30</sup>.

### 5.1 Programme reviews

2. These reviews were carried out each year between 2002 and 2004, covering the previous year (2000 and 2001 in the case of the 2002 review). The reviews’ approach and functions changed over the period. The first review was comprehensive but was seen as lacking a systematic overview and an adequate methodology. The 2003 review fed into the Second Global Consultation in September 2003 (see section 5.3 below). The 2004 review was planned differently, to feed into the Mid-Term Review of the current MTSP. It was based on a questionnaire jointly sent to COs by the Human Rights and Gender Units. All these reviews are analysed in Annex 2.

3. The 2003 review concluded, *inter alia*, that there were significant differences across countries and regions in their understanding and implementation of HRBAP. It made a number of recommendations concerning training, availability of case studies, and cross-fertilisation in particular, that are still relevant today.

4. The 2004 Joint Questionnaire Analysis concluded that “further refinement is required to clarify the linkages” between HRBAP and Results-Based Management (RBM). It noted an increase in the quality of UNICEF support to CRC reporting but remarked that this was not the case in relation to CEDAW and that “most COs” did not clearly understand the link between the two in relation to planning. It noted that HRBAP, including gender mainstreaming are addressed in specific projects and programme and not as cross-cutting issues. Some innovative approaches were noted, such as cross-sectoral coordinating mechanisms within UNICEF offices, involving partners. The report also noted that the promotion of HRBAP in the CCA-UNDAF process is strengthening UNICEF’s leadership in the operationalisation of HRBAP.<sup>31</sup>

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<sup>30</sup> Although this item was reported upon by UNICEF under Sub-Project 2, it is discussed separately in chapter 8.

<sup>31</sup> The recommendations contained in the Joint Questionnaire analysis are still relevant. They were, in summary: “Develop an operational tool to help COs to apply the HRBAP, including gender mainstreaming and women rights, that will highlight best practices.”  
“Ensure accountability of senior UNICEF staff members; promote human resources policies that also take into account the need of inter-disciplinary skills of the staff.”  
“Ensure that further operational guidance of the current and future MTSP incorporates sustained attention and operationalisation of the HRBAP, including gender equality, in all MTSP priority areas.”  
“Use the different stages of the planning process of the Country Programme as an opportunity for building capacity and learning for UNICEF staff and partners.”

5. The successive reviews were fairly consistent, the last two essentially agreeing on their recommendations, which are also similar to those of other reports (eg, Theis, 2004) and those made so far in the present report. This begs the question of whether the recommendations of the earlier reviews were implemented: this does not seem to have been the case, as HRBAP project reports do not suggest that the reviews led to any specific changes. It would appear that the feedback loop of the project learning was not effective. The Human Rights Unit seems to have prioritised the commissioning of reviews (and case studies) over their effective follow-up.

## **5.2 Case studies**

6. As the analysis of external assessments of country studies suggests (Annex 1) the material produced under this sub-project was relevant and contained useful lessons for the implementation of HRBAP by UNICEF<sup>32</sup>. However, it would appear that the case studies rarely contained recommendations aimed at UNICEF as an institution – rather, the recommendations were aimed at the particular office (or sector specialists) focused on in the case study<sup>33</sup>.

7. According to interviews of staff in the offices concerned, the case studies were useful to them, both as an assessment of how they were doing in implementing the HRBAP and as an injection of expert advice and support. However, it appears that the case studies did not necessarily lead offices to enhance their implementation of HRBAP. According to some Country Programme Evaluations, HRBAP had yet to be mainstreamed two years after a case study funded by the project. The studies did, however, help the CO move towards implementing aspects of HRBAP (such as participation of beneficiaries in programme development).<sup>34</sup>

8. More generally, interviews suggested that few UNICEF staff based in COs and ROs were aware of the case studies dealing with countries outside their own region, even if they might be relevant to the work of their own country office. This was all the more regrettable since some of these staff members might have found in these documents some of the answers to their questions about the training: example of how to link programmes to rights, strategies to influence governments, etc.<sup>35</sup>

9. It would appear that the sub-project focussed more on producing the case studies than on ensuring that the lessons they contained were widely shared in a format and in a medium relevant to the broader UNICEF audience. In particular, there appears to have been an excessive reliance on UNICEF's Intranet as a medium of dissemination: the Intranet contains so much information in such a variety of formats and locations that it is difficult for individual users not already conversant with the material on HRBAP to access all the material relevant to their area of interest without having to sift through many documents.

## **5.3 Global consultations**

10. The project organised two global consultation meetings on HRBAP: Tanzania in August 2002, and Ecuador in September 2003. The two events followed a similar format,

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<sup>32</sup> The literature review (Annex 2) revealed a similarly positive picture about the documentation, assessment, dissemination and application of experiences that was largely done through HRBAP case studies: 41% of quotations were positive, 32% neutral and only 27% negative.

<sup>33</sup> Theis (2004) is pointing out an overly narrow focus of the case study as well.

<sup>34</sup> See Literature Review, Annex 1.

<sup>35</sup> An area that has been largely left untouched in the case studies are children with disabilities (Theis, 2004)

with presentations and discussions of a wide range of topics (from country situations to thematic concerns) with an audience of staff and managers from Headquarters and all regions.

11. The first consultation produced a set of 29 recommendations, aimed at UNICEF Headquarters, ROs and COs. They included a call for a methodology to merge the “community-centred” approach to HRBAP used in ESAR and the “TACRO model of legal, policy, institutional, sector and budget reforms”. Other recommendations covered such issues as partnerships, programming in emergencies, programme communication, monitoring and evaluation, human resources development, etc.

12. The second consultation covered similar issues. There was no survey of the follow-up to the previous consultation, but instead an outcome document was prepared, highlighting the need for further “improvement and guidance” in relation to:

- the use of HRBAP in humanitarian emergencies;
- contextual monitoring and evaluation;
- integrating women’s rights into the programming; and
- refining further the step-wise methodology.<sup>36</sup>

13. The outcome of the meeting was discussed at a briefing with the Executive Director and senior Programme Directors – this was the one occasion recorded in reports in which the project had a direct interaction with the senior management of UNICEF. Some field staff praised the global consultation process as a tool of learning dissemination. However, many others were unaware of that process and its outcome and some told the evaluators that the process has been a “missed opportunity”, because in their view the results of the meetings were not shared widely enough.<sup>37</sup> The Global Consultation process internal to UNICEF has essentially run its course – further consultations need to be carried out in conjunction with other UN agencies, as part of the Action 2 process (see Chapter 8).

#### **5.4 Dissemination of information and contribution to UNICEF planning process**

14. Interviewees in ROs and COs noted almost unanimously that learning across countries was most effective within a region. In Guatemala, for example, the 2004 “Law for the Protection of children and adolescents” was adopted, in contrast to regional trends towards the adoption of laws threatening the rights of children and adolescents (such as the “Strong Hand Law” (*Mano dura*) in Honduras and the “Super Strong Hand Law” (*Super mano dura*) in El Salvador. A staff member from the El Salvador CO was posted temporarily in Guatemala to assist the CO, based on the experience of the “Strong Hand Law” and discussions about the “Super Strong Hand Law” in El Salvador.

15. Staff at ROs and COs noted that learning is often facilitated when a specific individual can act as a “focal point”. A number of offices have trained facilitators on HRBAP, who

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<sup>36</sup> HRBAP project report to DFID, September 2003.

<sup>37</sup> However, most of the recommendations of the Quito Consultation were implemented. Further consultations need to be carried out in the context of the Action 2 process (see chapter 8).

act, often informally, as HRBAP focal points<sup>38</sup>, without necessarily having enough time set aside for this. However, many offices do not have such a person, and the issue of HRBAP therefore lacks sustained and systematic attention.

16. It was noted by some staff that learning on HRBAP could be enhanced by following the “security in the field” model, with a CD-ROM compiling all the relevant information (or at least an extensive selection) and a compulsory on-line testing process. While the relevance and appropriateness of a compulsory test is debatable, the suggestion of a CD-ROM could, if implemented, help staff get around the difficulty of finding the most relevant HRBAP information on the Intranet. The Human Rights Unit is working along such lines already. Other learning models suggested by field staff included:

- Peer review mechanisms within regions at SPO and sector head levels.
- Regional workshops by sector (such as Rights in Education, to be held by TACRO in October 2005).
- Short circulars tackling the possible use of HRBAP to deal with specific concerns such as early childhood protection, violence, gender discrimination, etc.

17. The programme reviews, the global consultations and, to a lesser degree, the case studies, were remarkably consistent in highlighting issues of concern in which they recommended that further work be done. These included training, mainstreaming of gender in programming<sup>39</sup>, programming in humanitarian emergencies and monitoring. It is therefore remarkable that the project was apparently unable effectively to respond to these recommendations. Resource constraints may explain part of the apparent delay in the Human Rights Unit following up on the concerns expressed in the case studies in particular.

## **5.5 Conclusions and recommendations on dissemination of experience**

18. The programme reviews were relevant and highlighted important issues which informed thinking during the life of the project. It is appropriate that the process was used to contribute to the MTSP development. However the review process should probably be integrated into existing monitoring systems; this is the direction that appears to have been taken with the 2004 review.

19. The case studies were also useful, although their relevance outside the region where they were carried out was relatively weak. In the countries concerned, follow-up was uneven as well, pointing perhaps at issues of management oversight of the programming process.

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<sup>38</sup> In comments on an earlier draft of this report, the Reference Group supervising this evaluation noted that the use of focal points had “not been the approach of the project. Representatives and Senior Programme Officers are responsible for leading the process so as to ensure mainstreaming of human rights approaches into all programmes.” However the reality is that some staff (including trained facilitators) do act as focal points because they are known to have significant expertise on HRBAP and are willing to give advice. The monitoring of managers’ performance in mainstreaming HRBAP is discussed in chapter 9.

<sup>39</sup> Although interviewees agreed that HRBAP training materials deal adequately with gender, many were concerned that gender issues were insufficiently translated at programming and project levels – this concern was not, however, directly related to the HRBAP project.

20. Both series of documents, together with the global consultations, appear to form a fairly coherent overview of the achievements and challenges to HRBAP implementation in UNICEF, and it would be important that the recommendations which at least the annual reviews and the global consultations have in common should be followed-up more explicitly than they have been,

**21. It is recommended that any new phase of the HRBAP project should be designed with a view to, among other outputs, follow up on the recommendations of the annual reviews, case studies and global consultations, and in particular should prioritise the four points raised by the Second Global Consultations:**

- the use of HRBAP in humanitarian emergencies;
- contextual monitoring and evaluation;
- integrating women's rights into the programming; and
- refining further the step-wise methodology.

**22. A new phase of the project should consider relevance and appropriateness of continuing annual programme reviews: their function should be fulfilled by existing management reporting and performance monitoring systems. If necessary, the Human Rights Unit should contribute its expertise to the design of an appropriate reporting mechanism.**

**23. It is suggested that the commissioning of case studies and the organisation of consultations be devolved to the Regional Offices, as this could help ensure more "buy-in" of their outcome at regional level.**

## 6. Development of indicators of the rights of children

1. The sub-project on indicators for global monitoring of the rights of children flows logically from the other three elements of the HRBAP project: if rights-based programmes are to be reliably delivered, it is necessary to develop a set of indicators of human rights outcomes. In other words, it is necessary to develop a set of indicators for the degree of fulfilment of children's rights. The 2001 project proposal to DFID recounted that a on child rights indicators had taken place in 1998 in Geneva. The meeting had concluded that the wide range of indicators then identified were of uneven quality and that further refining was necessary.

2. As of 2001 the proposal stated that existing indicators included in Multiple Indicators Cluster Surveys (MICSs) then covered:

- children living apart from parents or as orphans;
- birth registration;
- child work and its association with child development.

3. The sub-project proposed to:

- analyse selected child rights indicators from end-decade household surveys;
- develop and test further indicators and measurement tools;
- organise a review consultation.

4. In practice, the following main activities were carried out:

- *Analysis of selected indicators.* This included work on birth registration, female genital mutilation, harmful traditional practices, and child labour.
- *Work on specific indicators.* This included research on indicators and data gathering methodology in relation to children in formal care and children in conflict with the law. Further, partly on-going work, concerns research on indicators relevant to the MTSP objective of "improved protection of children from violence, abuse and discrimination".
- *Review meeting.* An Expert Consultation meeting<sup>40</sup> was organised by the Child Protection Section in November 2003, dealing with indicators on juvenile justice, children in formal care, FGM and early marriage.

### **6.1 Methodological challenge**

5. The sub-project appears to have delivered interesting results, including useful indicators and data gathering methodologies. However the areas explored in the sub-projects were relatively narrow in view of the broad range of indicators needed to assess an overall programme in terms of its delivery of improvements to the human rights situation of children. It is suggested that the approach taken by UNICEF was probably incorrect.

6. Developing indicators for the fulfilment of human rights presents huge methodological and strategic challenges. Organisations like Amnesty International and Human Rights Watch, for example, have consistently refused to contribute to the development of any indicators that can be used to "rank" countries or to suggest a hierarchy of rights.

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<sup>40</sup> In addition to UNICEF, the meeting included representatives of WHO, UNFPA and the World Bank.

7. At a different level, however, Amnesty International has studied methodological approaches which may be relevant to the development of indicators such as those needed by UNICEF. In a recent report, Amnesty noted, among many other points, that states had immediate obligations in relation to human rights, irrespective of their level of economic development.

## **Amnesty International's approach to economic, social and cultural rights: setting out the obligations of states**

*Extracts from the Amnesty International report: Human rights for human dignity: a primer on economic, social and cultural rights published on 1 September 2005 (Index POL 34/009/2005)*

State obligations to realize all human rights are of three types:

- to respect: not to interfere with the exercise of a right
- to protect: to ensure others do not interfere, primarily through effective regulation and remedies, and
- to fulfil: including to promote rights, facilitate access to rights, and provide for those unable to provide for themselves.

The obligation to **respect** human rights requires states to refrain from interfering directly or indirectly with people's enjoyment of human rights. This is an immediate obligation. It includes respecting efforts people themselves make to realize their rights. (...)

Under the obligation to **protect** human rights, states must prevent, investigate, punish and ensure redress for the harm caused by abuses of human rights by third parties – private individuals, commercial enterprises or other non-state actors. This is an immediate obligation. (...)

States have an obligation to **fulfil** human rights by taking legislative, administrative, budgetary, judicial and other steps towards the full realization of human rights. This obligation should be realized progressively. This obligation includes duties to facilitate (increase access to resources and means of attaining rights) and provide (ensure that the whole population may realize their rights where they are unable to do so themselves). (...)

### **Immediate obligations and 'progressive realization'**

The principal obligation on states under international human rights standards on economic, social and cultural rights is to achieve, progressively, the full realization of these rights according to the maximum of available resources ("progressive realization"). States have a duty to take deliberate, concrete and targeted steps, as "expeditiously and effectively as possible", towards fulfilling these rights. Such measures might include adopting legislation or administrative, economic, financial, educational or social reforms, or establishing action programmes, appropriate oversight bodies or judicial procedures.

In addition to the duty of progressive realization, states have various immediate obligations related to economic, social and cultural rights which are not dependent on available resources.

The duty to "take steps" is an immediate obligation. The concept of progressive realization of rights does not justify government inaction on the grounds that a state has not reached a certain level of economic development. Conversely, taking steps to limit a right or taking retrogressive steps, for example by massively reducing investment in education or health services, can only be justified by an analysis of all the resources available to the state (including those available through international cooperation) and of the full range of obligations the state faces.

To rely on circumstances beyond its control to justify rolling back the realization of rights, the state has to show that it could not reasonably have prevented the negative impact on the right. For example, the African Commission on Human and Peoples' Rights found that Zaire (as the Democratic Republic of the Congo was then named) had violated the right to education when secondary schools and universities were closed for two years during a period of armed conflict.

*Extracts from the Amnesty International Report*



8. By stating from the overall obligations of states, as outlined by Amnesty's report, each of the three main relationships to rights ("respect", "protect", "fulfil") can be broken down into further sub-categories (investigate, provide, facilitate, etc), which themselves may, in principle, be assessed, at least in part, according to measurable criteria.

9. In contrast, the approach taken by UNICEF has been to focus on a number of specific criteria based on the situation of individual people, and not on the human rights obligations of states: the risk of that approach is that an overall picture of the fulfilment of rights in a given country necessitates a large number of indicators, each of which requires extensive research. On the other hand, an approach which starts from the obligations of the state can lead to the development of indicators based on what the state is doing – a relatively manageable task.

10. The approach taken by the HRBAP project was largely inherited from the earlier research undertaken around the 1998 Geneva meeting. It would appear that the project did not question the appropriateness of this approach, and simply set itself the task of continuing work already set into motion.

## **6.2 Relevance and effectiveness of the sub-project**

11. The indicators on which research has been carried out, such as those mentioned above, may be relevant to the assessment of children's and women's rights in specific situations and are therefore consistent with the systematic development of HRBAP-related tools. This sub-project, however, seems to have remained quite separate from the others: there is no reference to the research on indicators in the documents produced as part of the other sub-projects and the guidance and training material do not seem to refer to this research. The relevance of this sub-project to the HRBAP project as a whole is therefore somewhat questionable, and its appropriateness is particularly uncertain in view of the relatively limited resources available<sup>41</sup>.

12. It is also unclear that the HRBAP project is the most appropriate part of UNICEF to manage this sub-project (or its possible successor). It has already delegated some of the planned activities to another section, and the Human Rights Unit does not seem to have the research and legal expertise that seem required to develop indicators, especially if the approach outlined above is adopted.

## **6.3 Conclusions and recommendations on indicator research**

13. The sub-project appears to have been given a relatively low priority: there were significant delays in some activities, such as the convening of a consultation meeting. The relevance of the activities to the rest of the project is weak, although its relevance to the needs of staff involved in programming is clear. It is likely that other part of UNICEF would be better placed than the Human Rights Unit to manage this sub-project – such as for example the Innocenti Research Centre.

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<sup>41</sup> It is striking that none of the previous external evaluations of HRBAP reviewed for this report made any mention of this sub-project.

**14. It is recommended that DFID and UNICEF should reconsider the inclusion of research on indicators in the part of the HRBAP project managed by the Human Rights Unit, and that alternatives locations be considered, such as Innocenti.**

**15. It is also recommended that the methodology for the indicators research should be reassessed and alternatives be studied, including a methodology based on an analysis of states' obligations under human rights standards.**

## **7. Regional Capacity for HRBAP**

1. The many activities carried out under this sub-project – which in effect formed the bulk of the project once the main guidance, training materials and initial trainings were developed and implemented – can be categorised as follows:

- Training of Programme Process (PP) facilitators familiar with HRBAP in each region. This activity differs from the training reported under sub-project 1 in that the facilitators are generally not themselves trainers, and that the training covers other aspects of programming than the rights-based approach itself. Each of UNICEF's seven regions has held at least one such PP training since 2001.
- Regional HRBAP trainings: these have involved UNICEF staff from one or more COs in a region; staff from other UN agencies have generally joined the training, sometimes joined by government officials. Training has involved staff at senior level (Representatives, Senior Programme Officers) as well as more junior personnel.
- Liaison mechanisms within each region to share experience on methodology and operationalisation of HRBAP.
- Visits and technical assistance across the regions. This generally involved support from ROs to COs, although there were also several instances of horizontal assistance between COs.

2. These activities had significant impact on work at country level. The PP trainings were in many instances the first opportunity for staff at UNICEF and other UN agencies to learn about HRBAP. In some countries, the training led to a greater profile for human rights analysis in the CCA process.

### **7.1 Training**

3. The PP training, like most of the activities under this sub-project, was largely managed from the ROs. This seems to have contributed to an increase in the take-up of HRBAP by staff in the last two years. Similarly it seems to have increased staff motivation for involving government counterparts in HRBAP training. In some countries visited by the evaluators where government officials were trained, UNICEF staff reported an increased awareness on the part of officials that the services they perform are part of their government's obligations to the people. This awareness may not immediately change the nature of the services, but it contributes to balancing the lines of accountability: officials may become more aware that they are not only accountable to their hierarchy, but also (as a whole) to the people who benefit from their services. Similar points appear to have been brought across to other partners such as civil society organisations.

4. Staff have, however, expressed two recurrent concerns about the sustainability of training in general, and training involving government partners in particular:

- Training needs to be regularly repeated, because of staff rotation both within UNICEF and UNCTs and within government partners. The limited and often overstretched staff resources of COs and ROs (where few people are trained as PP facilitators and in HRBAP, and those trained have busy schedules) are often insufficient to ensure the regular repetition of training.
- Training aimed in part at government officials should be more tailored to their needs: the task of adapting UNICEF materials to the needs of local partners is currently, in practice, left to facilitators and trainers, who rarely have enough time to devote to this time-consuming task. In some cases, external local consultants have been commissioned to work on this aspect with UNICEF staff, with beneficial results. This approach should be more widespread.

5. In some regions such as MENA a workshop on HRBAP was aimed at Representatives and Regional Advisors, apparently with beneficial effects across much of the region.

6. There is no doubt that a body of staff has been developed within UNICEF, who have the competencies to implement HRBAP and to train others. These key capacities were those that the project set out to achieve in the first place, and this has demonstrably happened: staff who have attended the training sessions and who have met with the evaluators showed a detailed understanding of HRBAP, and reports from COs and ROs as well as case studies indicate that, where such staff are present, the output of offices is more rights-based, be it in terms of UNICEF internal situation analysis, contribution to the CCA-UNDAF process, or in terms of project management and relations with partners.

7. It would appear, however, that this evolution is has not been systematic across UNICEF<sup>42</sup>. It also seems that improvements have only come in recent years. The main challenges, highlighted earlier in the report (see chapter 4) remain the relatively low number of staff with the necessary level of familiarity with HRBAP, and the lack of sufficient support for staff who have been trained. Experience from other training programmes suggests that resources need to be dedicated to supporting those trained, to help them implement the acquired skills and to adapt what they have learned to the specific requirements of their job. The Human Rights Unit and the body of trainers and facilitators have effectively taken on this function, but they are not in a position to offer more than occasional support. Regional networks or working groups might help provide the necessary support, but those that exist seem rather informal, except at management level. Resources are available from the HRBAP project to support such liaison mechanisms at regional level, and the Human Rights Unit has reported that funds had been used to that effect. However, in some cases the funding of liaison mechanisms seems to have lapsed, or staff were taken up by other priorities.

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<sup>42</sup> Raphael (2004), the Morocco CPE (2004) and the Joint questionnaire analysis questioned the technical capacity of staff to apply HRBAP. Overall, the literature review showed that 46% of quotations are negative, 39% neutral and only 15% positive.

## **7.2 Other projects and capacity reinforcement**

8. In addition to the training activities mentioned above, a significant number of other projects were undertaken as part of this sub-project. They included:

- the Legislative Reform Project, aimed at developing guidance on strategies and advocacy for legal reform in relation to children's and women's rights. This project was strategically important, for two main reasons:
  - It supported UNICEF's role in relation to the CRC, in that it enhanced UNICEF's legal and programmatic expertise on the implementation of the Convention.
  - It contributed to UNICEF's capacity to advise governments on their implementation of the recommendations of the Committee on the Rights of the Child.
- Leave No Child Out: this project, led by the CEE/CIS RO with funding from the European Commission (but with the involvement of the Human Rights Unit) involved the development of a training package and TOT on non-discrimination; a second phase is currently underway, including training at national level and the development of a public campaign.

9. The devolution of the management of this sub-project to the Regional Offices may be encouraging a greater multiplicity of approaches to HRBAP and may be an effective way to encourage the country and regional offices to develop local strategies for research and advocacy. The research and advocacy capacity is likely to be enhanced by the intra-regional communications which the networks and working groups supported by the project should encourage (assuming the support offered by the project is actually taken up and maintained). However intra-regional exchanges must be supplemented with methodological advice such as can be given by the Human Rights Unit (on HRBAP), Innocenti Research Centre (on research), etc.

## **7.3 Conclusions and recommendations on capacity reinforcement**

10. As a result of the sub-project it seems that, particularly in the last two years, all regions have been encouraged to take part in HRBAP activities. Research, networking, intra-regional support appear to have been reinforced through the implementation of the activities, despite the recurrent concerns about training (similar to those expressed about sub-project 1).

11. The activities were relevant and appear to have been effective in increasing awareness of HRBAP among staff and among government and NGO partners (in some countries). The involvement of government counterparts in HRBAP training is seen by CO staff as the first step in a long-term strategy aimed at changing the attitude of officials towards the beneficiaries of government services. This strategy will need to be sustained with information, advocacy and policy advice, which the sub-project is well placed to develop.

**It is recommended that any new phase of the HRBAP project should prioritise the regional capacity reinforcement dimension, by encouraging the ROs to reinforce intra-regional networks of research and exchange, including secondment of staff between countries where relevant.**

**It is recommended that dedicated training and information material on HRBAP be developed specifically for government officials in strategic sectors. The development of this training could be managed jointly by ROs and NYHQ, on the basis of existing material.**

## 8. HRBAP and linkages with UN agencies

1. The project proposal referred to liaison with other UN agencies and to coordination processes such as the CCA-UNDAF and Resident Coordinator system, and mentioned two specific activities involving other UN agencies or the broader inter-governmental system. These were:

- Under sub-project 1: contributing and/or carrying out work on specialised training packages with an HRBAP component, assuming such packages are developed in response to the Global Agenda for Children, agreed by the UN General Assembly Special Session on Children.
- Under sub-project 3: involvement of other UN agencies, academics and donor agencies in a meeting on the development of indicators for monitoring children's rights.

2. However the proposal was overwhelmingly centred on UNICEF itself. This approach was justified in that the main objective of the project was to build capacity and reinforce a human rights approach within the organisation. However, in a context of pressure for enhanced inter-agency coordination, the project acquired a greater inter-agency dimension and developed new activities. These were:

- an interagency workshop;
- participation in UN reform activities;
- work on the CCA-UNDAF process.

3. These activities were generally reported about under sub-project 1 or 4; they are dealt with separately in this chapter to help assess their overall relevance and effectiveness.

### **8.1 Interagency workshop**

4. A first interagency workshop on HRBAP took place in January 2001, just before the proposal for Phase 2 of the HRBAP project was submitted to DFID. The workshop was supported in part by DFID and drew on the experience acquired in the first phase of the project.

5. The Second Interagency Workshop took place in Stamford, USA, in May 2003, again with support from DFID (among others) and with the participation of the HRBAP team and other relevant UNICEF staff. The workshop concluded with the adoption of this three-point "Statement of Common Understanding" among the participating agencies about HRBAP:

1. "All programmes of development co-operation, policies and technical assistance should further the realisation of human rights as laid down in the Universal Declaration of Human Rights and other international human rights instruments."
2. "Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments guide all development cooperation and programming in all sectors and in all phases of the programming process."
3. "Development cooperation contributes to the development of the capacities of 'duty-bearers' to meet their obligations and/or of 'rights-holders' to claim their rights."

6. The workshop also proposed guidelines for CCA-UNDAF and follow-up mechanisms on a number of other issues, including capacity building and accountability mechanisms. These issues were similar to those pursued by the project. However, the project did not include the setting up of an explicit, formal linkage mechanism to ensure that lessons learned by UNICEF through its HRBAP project are fed back to the broader UN system. In practice, it is the advent of the Action 2 programme, under the UN Development Group (UNDG), that eventually provided the linkage between the HRBAP project and an interagency rights-based programming coordination arrangement<sup>43</sup>.

## **8.2 The Action 2 programme**

7. Action 2 is a programme, formally launched by the UN Development Group (UNDG) in October 2004 as a result of the Secretary General's reform agenda

“to strengthen the capacity of UN country teams to support the efforts of Member States, at their request, in strengthening their national human rights promotion and protection systems. In order to achieve this, adequate national capacity, dedicated resources and expertise are fundamental prerequisites.”

“The Action 2 programme ensures that the UN will be ready to respond to these challenges by strengthening the capacity of its country teams with practical tools, training, advice, knowledge sharing and seed funding for capacity building and pilot programming. It also encourages closer interactions between UN country teams and UN human rights mechanisms such as treaty monitoring bodies and fact-finding missions of special rapporteurs and independent experts of the Commission on Human Rights. The ultimate aim of the Action 2 programme is to ensure that the rights of individuals are respected and protected, through strengthened national human rights protection systems.”

8. The UNICEF Human Rights Unit and other UNICEF staff familiar with HRBAP take part in the Action 2 programme, thus contributing lessons learned through the HRBAP project. In the on-going work on Action 2, two milestones with particular relevance to HRBAP can be identified: the Interagency Plan of Action (2003) and the Paris Declaration on Aid Effectiveness (2005).

### ***8.2.1 The Plan of Action***

9. The Interagency Plan of Action – Strengthening Human Rights-Related UN Action at Country Level. This Plan, issued by UNDG in September 2003, aims at harnessing UN resources to support Member States' in “establishing and strengthening human rights promotion and protection mechanisms”. The Plan of Action, due to run from 2004 to 2006,

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<sup>43</sup> In ESARO, one of the regions where the Paris declaration (March, 2005) caused a very swift change from the UNDAF process to the alignment of UN agencies with the countries' PRS, UNICEF staff is looking with huge expectation to the UNDG for guidance on how to embed the new alignment process in HRBAP. While this is a challenge, it is also a chance for UNICEF through its strong human resources capacities in the UNDG to gear up its efforts significantly to advocate HRBAP at the operational level in other UN agencies.

“builds on the progress achieved in integrating human rights throughout the United Nations system, as envisaged by the 1997 report of the Secretary-General on reform, including the UNDG process to mainstream a human rights-based approach into development cooperation and mainstreaming of human rights in the CAP process.”

10. The Plan sets out specific capacity building tasks for UN agencies (Art. 40):

“40. UN action to strengthen human rights promotion and protection systems is a work in progress. It is vital to ensure that we monitor progress in our action and make necessary improvements as we learn. To that end, it is proposed that:

“(a) UN agencies members of UNDG and ECHA compile existing policies and practices on human rights and human rights-based approaches;

“(b) OHCHR, in cooperation with UNDG and ECHA, collect, assess and systematically disseminate lessons learned and good practices in integrating human rights into development and humanitarian programmes, through DevLink and ReliefWeb;

“(c) For the purpose of measuring performance, a matrix of outcomes be developed, identifying key benchmarks and milestones such as treaty ratifications, integration of human rights in CCA/UNDAF and CAP/CHAP, etc.”

11. UNICEF has acquired significant experience of these issues, largely as a result of the HRBAP project. Its experience of introducing HRBAP to governments is particularly relevant since the Plan’s main focus is the capacity-building of states. However the Plan does not directly call on UN agencies themselves to enhance the rights-based aspect of their own programming.

### ***8.2.2 The Paris Declaration and its implementation***

12. In March 2005 the Paris High-Level Forum on Aid Effectiveness adopted a Declaration setting up a number of key “Partnership Commitments” aimed at enhancing aid effectiveness. The commitments, each accompanied by targets, are:

- Ownership
- Alignment
- Harmonisation
- Managing for results
- Mutual accountability

13. As part of the follow-up to the Declaration, the UNDG produced an Action Plan, which noted that the Declaration was consistent with the work undertaken by UN agencies themselves towards harmonisation and alignment to achieve the Millennium Development Goals.

14. The Action Plan noted that, under the current CCA-UNDAF guidelines for UNCTs, UN agencies should participate in national development processes where they exist and CCAs “do not need” to be undertaken, thus suggesting that the national processes, including PRSs where they exist, effectively take precedence over the UN’s internal



coordination mechanisms. UNDAF documents should be aligned with national priorities and plans.

15. In addition, the Plan of Action notes that UNCTs should promote and provide practical guidance on “such matters as human rights based programming, gender mainstreaming and environmental management.”

16. The Paris Declaration presents a significant challenge to UNICEF in relation to HRBAP, because the organisation has not yet developed a thorough expertise on the relationship between HRBAP and PRSs. The evaluation questionnaire confirms this challenge, as many staff noted that the existing HRBAP toolkit is not very appropriate to dealing with PRSs. This area should form a priority for future work on HRBAP. As a number of countries have PRSs which have been assessed as rights-based, UNICEF is probably well-placed to draw lessons from them in relation to HRBAP (see footnote on next page).

### **8.3 HRBAP and the CCA-UNDAF**

17. UNICEF has played a key role in forging a consensus among UN agencies about rights-based approaches to programming. UNICEF was a key force behind the Stamford consultations of 2002-03, which resulted in agreement among the agencies about the rights platform they could use for programming. That consensus in turn probably contributed to the inception of the Action 2 process. To that extent the HRBAP has probably had a noticeable impact on UN reform and integration.<sup>44</sup>

18. UNICEF’s HRBAP project has also directly influenced other UN agencies, particularly UNDP. The Human Rights Unit at UNDP’s NYHQ gives extensive credit to UNICEF for inspiring its own work, and UNDP is closely watching the HRBAP project in order to draw lessons for itself. OHCHR also appears to have drawn valuable lessons from UNICEF’s experience (as well as to have contributed to its development), in particular as the Office of the High Commissioner on Human Rights prepares to enhance significantly its field presence around the globe, including in zones of conflict.

19. At country level, however, the picture is more nuanced. The main forum for UN coordination is the UNCT, and one key vehicle to express that coordination is the CCA-UNDAF process. Case studies and field visits suggest that UNICEF has not always been able significantly to make the UNCT and CCA-UNDAF process more rights-aware. The challenges seem to have been the following:

- Reluctance in some countries, on the part of the UNCT, to explicitly refer to human rights as a base for programming, sometimes out of concern for the preservation of government relations. In some countries, however, the primary concern has been the relevance of HRBAP to the work of UN agencies other than UNICEF. A UNCT senior staff commented to an evaluator during a field visit that it was not always easy to “base programming on human rights when your area of

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<sup>44</sup> Moser&Moser (2003) endorse this finding and stress UNICEF’s role in the UN reform process. Nevertheless, the same authors analysed that the number of UNDAF’s that were rights based dropped from 28 in 2000 to 26 in 2002.

intervention is bio-diversity". Such views, partly grounded in practice and partly reflecting a lack of awareness of the outcome of Stamford, may have led in some instances to a lack of support within the UNCT for the development of rights-based programming.

- The complexity of the CCA drafting process: with many rounds of drafting, in which individual agencies modify sections they see as relevant to their work, analytical frameworks (rights-based or otherwise) inevitably become diluted.
- In some regions, there is the additional factor that the CCA-UNDAF process is losing some of its importance as a programming tool, replaced by Poverty Reduction Strategies (PRS). While using PRSs has the advantage of ensuring that governments, international financial institutions, donors as well as UN agencies work under the same framework, UNICEF's rights-based approach has yet to be fully aligned with PRS development methodologies<sup>45</sup>.

20. It must be stressed, however, that in some countries UNCTs, particularly in Central and South America, are engaged in sustained efforts to make UNDAF more participatory and more rights-based.

#### **8.4 Conclusions and recommendations on UN reform aspects**

21. The activities undertaken in relation to UN reform and UN agencies coordination as part of the HRBAP project were highly relevant. They have contributed to a significant improvement of the UN's ability to articulate its practical commitment to human rights in development and humanitarian action, and have helped improve the UN's capacity to engage governments on human rights in relation to governance and to economic and social issues. The activities have also been effective in that the UNICEF experience is recognised across the UN system and has been used as a basis of work by other agencies. Major challenges remain, however:

- Gaining wider acceptance of HRBAP from UNCTs in all regions;
- Further integrating HRBAP in both the CCA and UNDAF processes;
- Mainstreaming HRBAP in the PRS process.

**22. It is recommended that any future phase of the HRBAP project should include a significant element dedicated to linkage with the Action 2 mechanism as it relates to programming. This should include in particular UNICEF's contribution to:**

- a generic interagency training module on HRBAP;
- intra-regional exchanges on HRBAP amongst UNCTs;

**23. It is also recommended that research and training be carried out in relation to the use of HRBAP in the development and implementation of PRSs.**

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<sup>45</sup> Nevertheless, Moser&Moser (2003) see a positive trend in rights based PRSPs: Their number increased from 17 in 2000 to 30 in 2002. O'Neil (2003) outlines that based on an assessment of CCAs and UNDAFs, the following countries have a PRS process rooted in human rights: Zambia, Morocco, Yemen, Honduras, Ecuador, Colombia and Tanzania

## 9. Management issues related to the HRBAP project

This chapter considers the management of the project by the Human Rights Unit and gives an overview of some of the management challenges that the implementation of the project has brought to light.

1. The project is managed by the Human Rights Unit, which until 2004 was part of the NYHQ Programme Division, and has subsequently been moved to the Division of Policy and Planning, where it coordinates its work with other units developing advice to UNICEF on themes such as protection, women's rights, health, etc. The move from one division to the other was justified by UNICEF as designed to encourage synergies between the Human Rights Unit and other staff in the DPP, such as those working on children's rights. Some synergies did occur, for example in relation to activities on the CRC reporting process, although communications with these staff and other units were frequent before the unit's move. The move also underlined the advisory role the Unit was to play in relation to Regional and Country Offices, which themselves have been gaining increasing autonomy as a result of management decentralisation within UNICEF.
2. Although the Unit was in charge of the overall management of the project, it was not responsible for all of the outputs. The sub-project on indicators was managed in coordination with the Protection Unit and the sub-project on reinforcing regional capacity was run by the regions themselves. The devolution of the management, however, did not necessarily lead to a reduced workload at the Unit, because liaison work remained necessary demanding.
3. Interviews with current and previous managers of the project showed that a key task of the Human Rights Unit has always been to influence key senior staff, at HQ, regional and country levels, to get pilot projects underway and to shift programme emphasis in accordance with rights-based analyses of country situations<sup>46</sup>. The Human Rights Unit consists of two professional staff and one administrative assistant; it has access to a consultancy budget which allows the commissioning of research and other short-term assignments. However the team is perennially overstretched and is unable to provide support to field staff to the extent some staff seem to expect.
4. Interviews and reports suggest that the team has managed the project very effectively, ensuring that numerous activities were carried out, sometimes simultaneously. However, some concerns relating to the management of aspects of the project have arisen, including the following:
  - The design and follow-up of HRBAP-related training. The team had to rely on consultants and other UNICEF staff to design and implement most of the training, and were not able to provide sufficient follow-up support to the trainees. It appears to have lacked the resources to ensure that such support is available on-line in a timely and user-friendly manner.
  - Delays. Probably as a result of overstretch, many activities (case studies, training sessions, coordination with other UN agencies, etc) suffered long delays, to the extent that the efficiency of the project was affected over the years. Reports to DFID indicate that the implementation of several activities and the production of several items have

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<sup>46</sup> The literature review shows that 61% of quotations assessed positively the project management's capacity to seize existing opportunities in HRBAP. Only 9% of quotations are negative.

been delayed because of a shortage of financial and human resources, and sometimes because of extraneous reasons, such as the need to await the results of wider consultations.

- Coordination. Some interviews have suggested that staff in other UN agencies as well as UNICEF staff in ROs and COs had expected more intense coordination with the Human Rights Unit than the level actually achieved over the years. Again, limitations to the team size may be to blame. However, the relative difficulty of accessing other forms of help may also have contributed to a sense, apparently shared by many staff in the field, that the Human Rights Unit was somewhat remote.

5. The project implementation was closely monitored by DFID staff based at the UK's Permanent Mission in New York. The fact that DFID was the sole funder of the project may have facilitated close liaison with UNICEF, although it is questionable whether reliance on a single donor is the best approach to ensure sustainability for the project. However it can also be argued that a project such as this one is by definition time-limited and destined to be absorbed by standard programming support functions after a certain period. It is the view of the evaluators that ending the project at this point would be somewhat premature in view of the needs for further support described in the sections above.

6. The project's finances appear to have been well-managed and funds allocation was closely monitored. There is however some concern that some translation costs were made higher by travel costs aimed at testing the translated training materials: in view of the high demand for translations, the costs of individual translations could have been reduced by renouncing the testing process, trading a possible loss in quality against the potential availability of translations into more languages. Also, the delays in activities related to the late delivery of funds is somewhat surprising when it comes to a partnership between two such large organisations as DFID and UNICEF. A financial arrangement could perhaps have been found to smooth over these problems, which seem to have caused undue delay and therefore hampered the overall efficiency of the project.

7. The implementation of HRBAP is clearly a responsibility of Regional Directors and Country Representatives. The project has done much to give them information, guidance and support in that regard. However the degree of implementation of HRBAP varies from country to country. This is an overall UNICEF management issue which should be addressed at senior management level.

8. The development of a project aimed, like HRBAP, at changing programme management practice across the board at UNICEF (and in the broader UN system), needs sustained support from senior management. This is because the project impacts on the overall organisational mission and culture, the way it goes about implementing its mission. That the project has been supported in principle by senior management at UNICEF has been clear, considering that one of its bases was the 1998 EXDIR. However, there does not seem to have been much visible direct involvement in project activities on the part of UNICEF senior management in the course of Phase 2 of HRBAP: such involvement could have included, for example, participation (or messages to) Global Consultations. While the project can be implemented without such direct mark of senior

management support, there is a risk that its central importance to UNICEF be somewhat overlooked if not underlined by senior management.

9. To some extent, the strategic importance to UNICEF of HRBAP has been reaffirmed at senior level in the MTSP, which clearly states that the “human rights-based approach to cooperation and gender equality” forms a “supporting and cross-cutting strategy” of the MTSP<sup>47</sup>. However, the MTSP does not mention rights-based programming in the section where it discusses the rights-based approach. To ensure that HRBAP is broadly seen across UNICEF as a key tool of MTSP implementation, it would be important for the senior management of the organisation to reaffirm its support for the approach. This support should also be further followed-up with a link between the project and senior managers in charge of assessing the performance of Directors and Representatives. This could contribute to ensuring that HRBAP-related activities are considered as part of the performance assessment of regional and country managers.

**10. It is recommended that the senior management of UNICEF should reaffirm its support for HRBAP at UNICEF, and ensure that information from the project is fed through the Human Rights Unit to all the senior managers responsible for programmes and for the performance assessment of Regional Directors and Country Managers.**

**11. It is also recommended that any new phase of the HRBAP project should build on the current phase’s approach of co-managing aspects of the project with other Units or groups within UNICEF.**

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<sup>47</sup> See the UNICEF MTSP 2006-2009, paragraphs 98-112.

## 10. HRBAP's impact on UNICEF learning and capacity building

1. A simplified version of the framework mentioned in the introduction has been used to assess effectiveness of the HRBAP project as a capacity building tool. This is because the full framework is designed to assess entire organisations, not individual projects. This is because capacity building is itself, in principle, an organisation-wide issue: to that extent, assessing a given project's capacity building is by necessity an ambiguous task, all the more so in an organisation as complex as UNICEF. This is why the assessment of capacity building should be read in conjunction with other considerations, such as those concerning management systems.

2. For the same reason, capacity building in relation to the HRBAP project cannot be assessed in absolute terms: it can only be made sense of in relative terms, specifically in terms of the marginal improvement on existing UNICEF practice evidenced by the implementation of the project, on the basis of the body of evidence and information gathered during the evaluation. It is important to note that the assessment of the project according to the framework given below is not meant as a value judgement, but primarily as a conceptual tool to help the further development of the project and other UNICEF activities on HRBAP.

3. For each of the aspects of capacity building defined by McKinsey, a number of sub-elements have been identified. Each sub-element can be evaluated on a four-step scale, ranging from step 1 to 4, as follow:

- Step 1: "Clear need for increased capacity"
- Step 2: "Basic level of capacity in place"
- Step 3: "Moderate level of capacity in place"
- Step 4: "High level of capacity in place"

4. The following tables reproduce those sub-elements that are relevant to the HRBAP project, and benchmark each of them with an "X" mark according to the criteria provided by the McKinsey study. The full McKinsey framework should be consulted for a complete overview of the assessment framework (see note 6 above). A web link to the full table of criteria is given in Annex 5. A short summary under each table below links the benchmarking to the findings detailed in other parts of the report. A start (\*) mark indicates where UNICEF appears to have stood in relation to some of the criteria when the project started in 2001. Only those criteria where the evaluators feel they have a sense of the situation in 2001 are marked with a star. These ratings are subjective, but may help guide the development of the subsequent phase. The comments on the situation in 2001 are in *italics* in the paragraphs below.

Strategy				
	1	2	3	4
Goals/performance targets	*	X		
Programme relevance and integration		X		
Programme growth and replication			X	

5. The project, as developed and managed, was primarily focussed on inputs rather than on outcomes and results – as exemplified by the primacy given to training materials over the follow-up and use of training. The four sub-projects were each well aligned with the

overall goal, but lacked linkages with each other in places. The project grew in accordance with opportunities, particularly in relation to linkages with other UN agencies where the project could bring significant added value. *There was a clear need for increased capacity in HRBAP in 2001.*

Organisational skills				
	1	2	3	4
Performance measurement		X		
Performance analysis and programme adjustments		X		
Monitoring of landscape		X		
Strategic planning	*	X		
Financial planning/budgeting		X		
Operational planning			X	
Human Resources planning		*	X	
Partnerships and alliances development and nurturing	*	X		
Local community presence and involvement		X		
Influencing of policy-making		*		X
Organisational processes use and development	*	X		

6. The project made relatively little headway in developing a range of human rights indicators (those that were developed under the project were in a highly specialist range), and the project included few activities and little training in relation to data-gathering. The case studies provided useful insights for performance analysis, but these did not seem to have been widely used by the project to adjust its own strategies. Adaptation of HRBAP practice to coordination with other agencies and to the PRS process is an acknowledge area of weakness of the project. There appears to have been few attempts to refine the project strategy during its life cycle. Budgeting was adequate but financial planning was insufficiently proactive, as exemplified by repeated delays due to lack of cash flow. Allocation of some resources in budget was questionable. Operational planning was effective, but may have lacked a more pro-active engagement with UNICEF's management systems. Human resource development was focused on training, but gave little consideration of the need for performance monitoring of staff and managers. Project was not leveraged to develop major new partnerships, although those partners that were engaged had positive feedback. There was a strategic focus on influencing policy-making across UNICEF, this was done pro-actively and systematically. The innovations brought about by the project have been effectively used by only a portion of the target group of managers and senior staff. *The project contributed to enhancing UNICEF's strategic planning capacity by increasing its understanding of, and capacity to operationalise, human rights. Staff have access to a range of training they did not have before. Partnerships probably benefited from the HRBAP training. Working with governments to influence their budgets and policy-making leaped up the UNICEF agenda, even though advocacy had long been practiced. A lot of thinking related to HRBAP contributed to streamlining organisational processes (PPPM, MTSP, etc).*

Systems and infrastructure				
	1	2	3	4
Planning systems		*	X	
Decision-making framework	*	X		
Financial operations management			X	
Knowledge management		*	X	

7. The project displayed an ability to use opportunities that arose (see for example the work with other UN Agencies, Chapter 8). Decision-making appeared to be widely shared across different Headquarters sections, the Human Rights Unit playing a coordination as much as a management role. There were good financial controls. Many activities were directed towards the sharing of knowledge, however the methodology of sharing was insufficiently streamlined. *Planning and decision-making systems were more sector-focussed before HRBAP. Financial management was probably unaffected, but knowledge management gained in human rights focus.*

Culture				
	1	2	3	4
Performance as shared value			X	
Other shared beliefs and values			X	
Shared preferences and practices		*		X

8. UNICEF is a strongly values-driven organisation, and the project contributed to this being made more explicit and further translated into management practices. The project was aligned with organisational purpose, but has yet to lead to generalised use of HRBAP across the organisation. The project chimed strongly with UNICEF references and symbols. *A performance-based culture ("results-based management" in the MTSP) probably gained ground since 2001 but for reasons mostly unrelated to HRBAP. The project undoubtedly brought a common framework of analysis to the various sector-based activities.*

***Does the design amount to a capacity-building model?***

9. Although it addressed several aspects of capacity-building outlined in the study quoted in Section 1.2 above, the project probably was not comprehensive enough, at least as originally designed, to amount to a full model, integrating UNICEF's strategic outlook and its organisational culture. However, it is doubtful that creating such a model was necessary at the level of the project: indeed, the strategy apparent in the project design is to address some aspect of the chain that links awareness of human rights and capacity for action, allowing for a diversity of approaches along the way.

10. Two concerns arise, however, from the design of the project: one relates to the degree to which it took account of the evolving integration of the activities of UN agencies, the other to the analysis of the underlying weaknesses of UNICEF's programming and management procedures.

11. The project proposal refers to the move towards integration of programming at country level through the CCA-UNDAF process. This is mentioned in the introduction, and again in relation to training and programming guidance. The link between UNICEF programming and the Poverty Reduction Strategy (PRS) process is also alluded to, but neither of these issues is analysed in any detail with regards to its impact on UNICEF's programming. UNICEF therefore seemed to be setting off on a wide-ranging overhaul of its programming capacity, without giving significant consideration to the possible impact of another on-going programming overhaul, one that was going to affect UNICEF and the other UN agencies in the years to come.

12. The other concern stems from the very fact that UNICEF had worked on HRBAP for several years by the time the project was initiated. While documents such as the project proposal, the 1999 communication to the Board and the 1998 EXDIR suggest that there



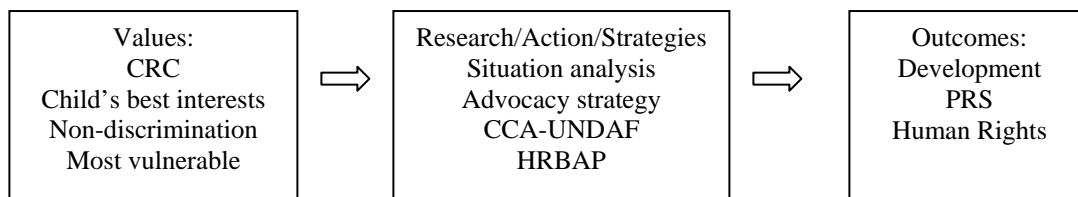
was an existing body of HRBAP-related achievements to build upon, they did not clearly set out the challenges to wider implementation of the approach. The proposal did not set out explicitly which obstacles to HRBAP implementation it was seeking to address – although it suggested implicitly, by focussing on training, policy guidelines and exchange of experience, that these were the key challenges. This may have underestimated some management issues, such as the challenges and opportunities posed by the decentralised nature of UNICEF’s programming.

13. The following recommendations stem from the above discussion of the HRBAP project proposal, and are relatively independent of its implementation. Their objective is to ensure that any new phase of the project takes account of the above concerns over the design of Phase 2.

- **It is recommended that any further phase of the HRBAP project should integrate activities related to influencing other UN agencies and International Financial Institutions in the use of HRBAP, and to coordinating activities with the other UN agencies.**
- **It is also recommended that any further phase of the project should address more explicitly the management challenges related to the implementation of HRBAP across all regions**

**10.1 HRBAP’s contribution to institutional learning**

14. One of the key challenges posed by HRBAP is that it is supposed to deliver *both human rights and development outcomes* on the basis of *human-rights based approaches*. In other words, the chain going from values to outcomes (section 1.2.2 above) can be modified as follows:



15. The feedback loop linking outcomes with values and research/action/strategies depends on the programmes delivering outcomes that can be either measured explicitly or (as suggested in section 1.2.2.) recognised tacitly. The case studies show that human rights outcomes have been achieved (see table of case studies in Annex 1). The role played by the HRBAP project in documenting these outcomes is real. However, the feedback from the outcomes to the institutional values and strategies has not been systematic: the case studies often lacked significant institution-wide recommendations, focusing instead on country-level strategies, and other feedback mechanisms, such as Country Programme Evaluations, did not always include recommendations on HRBAP issues.

16. The concern about “the missing link” expressed by many field staff (see section 4.2 above) is a question mark about the two arrows in the above diagram: do values actually influence programming (or is human rights terminology a mere pretext)? Do programming approaches influence outcomes (or are activities “business as usual”)? To address the missing link concern, it is necessary:

- to show the link between HRBAP and outcomes, through examples of effective programming and relevant projects;
- to reinforce the feedback loop between outcomes and research/action/strategies, with a view to validating these approaches.

17. The learning that has taken place was clearly focused on refining the programming process itself, as well as the training. It had little impact on the underlying values of UNICEF.

**18. It is recommended that the design of any new phase of the HRBAP project should provide for regular stock-taking exercises, involving an appropriate range of internal and external participants, to draw lessons from past activities and set directions for the coming period. It is suggested that such an exercise could take place annually.**

**19. It is recommended to experiment with the development of a human rights results matrix based on government obligations (see chapter 6) and that the matrix be revised according to its relevance in the above exercise.**

## **11. Conclusions and Recommendations**

1. As the above review indicates, the HRBAP project has implemented many or most of the activities planned under each sub-project; in that sense the project has been successful. It has also been successful in its overall objective, which was to enhance the capacity of UNICEF staff to understand and implement human rights-based programming.

### **11.1 Findings**

2. In terms of impact, it is clear from documents and interviews that the project has had a significant impact on the UN System as a whole, enhancing awareness of rights-based analyses and HRBAP amongst UN agencies. The above discussion of the sub-projects can lead to the following overall assessment of the project:

#### **Relevance**

3. The project was particularly relevant to UNICEF as it contributed to the further implementation of the CRC by providing staff with tools and competencies for situation analysis, strategy development and programming. However, its relevance has remained hampered by the lack of uniform commitment to HRBAP across the country and regional offices, as a result of which some staff have felt unable to implement the new approach to a sufficient extent. Externally, the project has enhanced awareness of, and interest for, HRBAP in other UN agencies and amongst some government counterparts, but the relevance of the project to these stakeholders has been hampered by the fact that UNICEF's approaches and experiences are not always easy to translate into other organisations' mandate and field of work.

#### **Effectiveness**

4. The project has implemented most of the activities that were under its control, and the implementation was of a high standard. Meetings, training documents, policy guidelines, consultations, were widely praised for their level of professionalism and effectiveness at awareness-raising and as motivating tools. A large amount of feedback from experience has been gathered through case studies and other means, and made available across UNICEF and to relevant partners. However, effectiveness was somewhat blunted from the point of view of some users, because of the sheer amount of information on HRBAP and the relative difficulty they encountered in finding relevant pieces of information and in adapting it to their own needs.

#### **Efficiency**

5. The project has carried out its activities within budget, although schedules were sometimes extended. The project management was appropriate although the team was understaffed in view of the tasks it had to coordinate. The move of the Human Rights Unit to the Policy Division does not appear to have brought a significant change to the team's way of working, although some synergies in the form of coordinated activities were developed with other teams in the Division.

#### **Sustainability**

6. A significant portion of the activities of the project will have a long-standing impact. The training material and PPPM, in particular, are major achievements in that regard. However, there seems to remain a need for the Human Rights Team to continue pro-actively to spread the message of HRBAP, suggesting that the approach is not yet sufficiently mainstreamed across UNICEF. To this extent, the further development of the

approach remains dependent on the continuing presence and activism of the team and of a core of well-briefed senior staff across UNICEF.

## **11.2 Recommendations**

### *Recommendations to DFID*

- **Continue support to UNICEF’s HRBAP project.** It seems appropriate that UNICEF be encouraged to design a third phase for the project, aimed at systematising the results already obtained and at contributing to further mainstreaming the approach across the whole of the organisation and amongst the other UN agencies.
- **Consider options for training staff at other UN agencies.** While UNICEF has effectively acted as a “pilot” for HRBAP, contributing to leading other agencies in that direction, there seems to be a need to develop HRBAP training models that are more applicable across the UN System. DFID might consider the appropriateness of encouraging the development of a HRBAP training process designed for the broader UN System. Working with UNDGO seems appropriate in that context.
- **Consider option for locating aspects of the project.** Some aspects of the current project could be treated separately in a new phase – such as the indicators sub-project, which could be the object of a separate arrangement with the Innocenti Research Centre or a non-UNICEF research entity.

### *Recommendations to UNICEF*

The recommendations are arranged thematically and concern any further phase of the project.

### **Management issues**

- **Reaffirm management support.** The senior management of UNICEF should reaffirm its support for HRBAP at UNICEF, and ensure that information from the project is fed through the Human Rights Unit to all the senior managers responsible for programmes and for the performance assessment of Regional Directors and Country Managers.
- **Include HRBAP issues in the recruitment of managers.** The following changes to recruitment procedures are recommended (see box on p. 45):
  - *Make HRBAP a compulsory area of discussion during recruitment.* While existing Human Resources policies and procedures do allow a focus on HRBAP during the recruitment process, they are not compulsory and depend on the interview panel. A change in the existing procedures, to make questions on HRBAP mandatory, might be helpful.
  - *Consider the HRBAP understanding and record of prospective managers.* The competency profile for country representatives is very rich and includes HRBAP among many other skills. As the selection of a country representative is based on the recommendations of the Regional Director, it should be ensured that HRBAP is addressed in these recommendations. This is currently not the case and HRBAP may not always be given due consideration. This situation should be rectified in the Human Resources procedures by ensuring that familiarity with, and the record

of implementation of, HRBAP by the prospective manager are explicitly addressed.

- *Ensure externally recruited managers are assessed on HRBAP quickly.* For international staff joining UNICEF externally there is an option to assess HRBAP capacity *after staff is in post*. It is implicitly understood that this should happen within 12 months but it is recommended to make this time limit explicit.
- *Ensure SPOs are assessed on the basis of HRBAP.* In the case of Country Representatives, the Regional Director or the Deputy Regional Director and a panel undertake the assessment of HRBAP capacity. The assessment applies the UNICEF competences profile for country representatives and uses the competences as a set of indicators. In the assessment positive as well as negative issues are highlighted and are accompanied by a development strategy to overcome the weaknesses and to build on the strengths. This is another reason why HRBAP should be a central competence in the profile (see point 2). The focus on country representatives is important as at the country level the country representative undertakes the same assessment for SPOs.
- *Standardise interview processes and ensure systematic coverage of HRBAP.* Interview protocols should be made compulsory and standardised in a way that HRBAP cannot be avoided during interviews. This could help to prove whether HRBAP competences have been assessed during the interview.
- **Address decentralised management issue.** UNICEF should address more explicitly the management challenges related to the implementation of HRBAP across all regions, including through the recommendations below.
- **Take stock regularly.** The HRBAP project should provide for regular stock-taking exercises, involving an appropriate range of internal and external participants, to draw lessons from past activities and set directions for the coming period. It is suggested that such an exercise could take place annually.
- **Encourage decentralisation and co-management.** The HRBAP project should build on the current phase's approach of co-managing aspects of the project with other Units or groups within UNICEF.
- **Enhance human resource monitoring on HRBAP.** Ensure that the commitment to HRBAP at management (regional and country) and SPO levels is reinforced and becomes more uniform, taking account of the following aspects:
  - Prioritising HRBAP in internal and external recruitment, both in profiles and in interview process
  - Ensuring HRBAP assessment of new staff occurs within 12 months of arrival in post
- **Provide management support to facilitators on HRBAP and PP.** The facilitators should receive the formal support of their Director or Country Representative to spending the equivalent of two day per month for 12 months to follow up on their training and support others. The Human Rights Unit should work with the facilitators to plan with them the use of the time for follow-up, on the basis of surveys of needs in their region. In some cases, facilitators could be called upon to contribute to the further development of training material on specific situations.
- **Train managers in HRBAP strategy.** A training course should be developed, aimed at managers (Country Representatives, Regional Directors and Headquarters managers). This one-day course should be devised from a

management point of view (setting/approving strategies, agreeing milestones, controlling costs and ensuring accountability and interagency coordination). This training should be available once or twice per year, probably on the occasion of international meetings.

- **Discontinue HRBAP annual programme reviews.** Because UNICEF offices already report on the application of HRBAP as part of their routine annual reporting, a separate, general review of programmes by the HRU seems unnecessary for the purposes of mainstreaming. The resources of the HRU in this respect are best devoted to contributing to the overall monitoring of the implementation of the Mid-Term Strategic Plan.

### Training issues

- **Streamline and translate.** Ensure that training materials on HRBAP are easier to identify and available in a variety of languages appropriate to the needs of international and key national staff. A survey should be undertaken to assess the needs of national officers (and partners) for translations of training materials. The translation tasks should be shared between Headquarters and Regional Offices
- **Review the PPPM.** It would probably be appropriate, subject to consultations with a panel of users, to review the format of the PPPM and the way it is updated. The following approach should be tested with OLDS and users:
  - Each section of the PPPM should be laid-out as a stand-alone document (subject to some short sections being merged into one), each with a short (two computer screens) summary.
  - Each section should be illustrated with country examples, preferably from more than one region, and with thematic examples where relevant.
  - Each section should be updated as soon as new guidance concerning it is published, so that staff using the PPPM thus updated can be confident that they are using the latest, correct information.
  - Hard copies, where needed, should be issued in a loose-leaf binder, allowing for the inclusion of new material and updates without reprinting the whole text.
  - The electronic version would benefit from hyperlinks to specific examples of good practice in HRBAP, such as specific sections of relevant case studies and sections of training materials.
- **Train more HRBAP facilitators.** It is recommended that any further phase of the HRBAP project should include a further round of training for HRBAP facilitators, in addition to the PPT training including enough staff from each region to help create or sustain a momentum for follow-up which could overcome staff turnover and allow the facilitators to share the follow-up workload. A minimum of four staff per region is recommended.
- **Review the training.** The training for facilitators should be reviewed, in consultation with a panel of previous trainees, HRBAP specialists and experienced trainers, with a view to enhance the practical advice aspect (including, for example, practical exercises) and the relevance to agencies other than UNICEF.
- **Develop more specialist training modules.** Further training should be developed for specific situations such as programming in emergencies, conflict, etc. Some of this could be based on initiatives from regions under sub-project 4.

- **Develop HRBAP training for government officials.** It is recommended that dedicated training and information material on HRBAP be developed specifically for government officials in strategic sectors. The development of this training could be managed jointly by ROs and NYHQ, on the basis of existing material.

#### UN coordination

- **Link HRBAP and PRS.** Ensure that HRBAP can be more closely related with the PRS process (including through consultations with the World Bank) and that appropriate guidance and support is given for HRBAP to tackle issues of political change and peace-building.
- **Link with Action 2.** Include a significant element dedicated to linkage with the Action 2 mechanism as it relates to programming. This should include in particular UNICEF's contribution to:
  - a generic interagency training module on HRBAP;
  - intra-regional exchanges on HRBAP amongst UNCTs;
- **Advocacy with UN agencies.** The HRBAP project should integrate activities related to influencing other UN agencies and International Financial Institutions in the use of HRBAP, and to coordinating activities with the other UN agencies.

#### Learning and capacity building

- **Devolve studies to regions.** It is suggested that the commissioning of case studies and the organisation of consultations be devolved to the Regional Offices, as this could help ensure more “buy-in” of their outcome at regional level.
- **Prioritise regional level.** The HRBAP project should prioritise the regional capacity reinforcement dimension, by encouraging the ROs to reinforce intra-regional networks of research and exchange, including secondment of staff between countries where relevant.
- **Enhance follow up on feedback from studies.** The HRBAP project should be designed with a view to, among other outputs, follow up on the recommendations of the annual reviews, case studies and global consultations, and in particular should prioritise the four points raised by the Second Global Consultations:
  - the use of HRBAP in humanitarian emergencies;
  - contextual monitoring and evaluation;
  - integrating women's rights into the programming;
  - refining further the step-wise methodology

#### Human rights Indicators

- **Reassess methodology.** The methodology for the indicators research should be reassessed and alternatives be studied, including a methodology based on an analysis of states' obligations under human rights standards.
- **Separate the indicators project.** DFID and UNICEF should reconsider the inclusion of research on indicators in the part of the HRBAP project managed by the Human Rights Unit, and that alternatives locations be considered, such as the Innocenti Research Centre.
- **Human Rights results matrix.** It is recommended to experiment with the development of a human rights results matrix based on government obligations

(see chapter 6) and that the matrix be revised according to its relevance in the above exercise.



**EXTERNAL EVALUATION REPORT ON THE DFID-  
FUNDED PROJECT: STRENGTHENING UNICEF HUMAN  
RIGHTS-BASED PROGRAMMING - PHASE 2**

**ANNEXES**



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## Annex 1: Literature review

**This document provides an overview of some of the HRBAP-related studies taken into account in the evaluation report.**

*1. Title of the document: The Current Status of Human Rights Mainstreaming - Review of Selected CCA/UNDAFs and RC Annual Reports*

**Author/Year:** William G. O'Neill, 2003

A review of numerous UN Country Teams' Common Country Assessments (CCA) and Development Assistance Frameworks (UNDAF) reveal that:

### Operationalizing HRBAP

- The documents resonate with human rights principles, language, standards and practices. Duties and responsibilities also figure prominently in analyzing a new relationship between governed and government. The word "need" hardly ever appears.
- Human rights have come to occupy a central place in how many UNCTs analyze the development challenges in their countries. Human rights-based programming also shapes both the proposed substantive programs to address these challenges and the process of engaging the people concerned.
- There is no evidence of integration of the country work of the Office of the High Commissioner for Human Rights (OHCHR) in CCA/UNDAFs. For example, the OHCHR annually implements several dozen "technical cooperation projects" usually in the realm of the rule of law and human rights education. Yet I never saw a UNCT refer to one of these in any of the CCA/UNDAFs reviewed

### Programming

- There is no single model or "silver bullet" that magically confers a "human rights-based approach" on a given program. Rather, rights-based programming usually has one or more of the following characteristics like for example:
  - - Explicitly basing analysis of problems and resulting programs on one or more treaty-based human rights and/or rights found in the national constitution or legislation
  - Highlighting remedies available for rights violations based on either international human rights mechanisms or domestic avenues of redress
  - Emphasizing an inter-sectoral approach (across ministries and UN agencies, e.g. women's right to health involves Ministry of Health, Education, Social Welfare, Interior, the police and UNIFEM, UNDP, UNICEF, WHO, UNFPA)
  - Adopting a holistic approach to human rights where economic, social and cultural rights and civil and political rights are fully integrated and given equal weight
- An overwhelming emphasis on economic, social and cultural rights at the expense of civil and political rights

### Role of UNICEF

- Carol Bellamy's EXDIR is reflected centrally in the document as a milestone in HRBAP
- UNICEF has frequently taken advantage of this invitation by providing relevant and timely information to the Committee on the Rights of the Child. UNICEF has come to see the CRC as "no longer ...just a human rights convention, but as a powerful instrument of change with respect to national child policies and UNICEF's own approach

- **Participation and Human Rights-Based Programming:** UNICEF developed some special plans for “municipalities friendly to children” while UNDP had a similar exercise focusing on reconciliation and coexistence.

#### PRSP

- Poverty reduction and human rights: Zambia CCA, Morocco UNDAF, Yemen 2001 CCA, Honduras CCA, Ecuador CCA 2002, Colombia UNDAF 2002 – 2004, Tanzania UNDAF 2002 – 2006

#### Capacity building

- Training opportunities for the HRBAP and mainstreaming should be systematic and available to all UNCT members

#### Opportunities for UNICEF

- There is a disconnect between the committees overseeing a state’s compliance with its international legal obligations and the CCA/UNDAF process. There is a huge potential for UNCTs to provide crucial information to the assessment of human rights observance by the treaty bodies
- A similar disconnect with the technical cooperation programs of the Office of the High Commissioner for Human Rights. These programs frequently involve judicial and police reform and broad-based human rights awareness campaigns and should be easy partners for UNCTs’ projects. Yet there seems to be minimal to non-existent communication and cross-fertilization.
- Few concrete cases exist now that could serve as examples of “good practice” in human rights-based programming. Developing and disseminating such cases should be a high priority for both HURIST and the Office of the High Commissioner for Human Rights

### 2. *Title of the document: The Human Rights Based Approach to Development Cooperation - Towards a Common Understanding Among UN Agencies*

**Author/Year:** UN, 2003

The document states that:

- In the UN Programme for Reform that was launched in 1997, the Secretary-General called on all entities of the UN system to mainstream human rights
- However, UN interagency collaboration at global and regional levels, and especially at the country level in relation to the CCA and UNDAF processes, requires a common understanding of this approach and its implications for development programming
- The aim of all activities is to contribute directly to the realization of one or several human rights.
- Human Rights principles guide programming in all sectors,
- Human rights principles guide all programming in all phases of the programming process,
- In a HRBAP human rights determine the relationship between individuals and groups with valid claims (rights-holders) and State and non-state actors with correlative obligations (duty-bearers). It identifies *rights-holders* (and their entitlements) and corresponding *duty-bearers* (and their obligations) and works towards strengthening the capacities of rights-holders to make their claims, and of duty-bearers to meet their obligations.

### 3. *Title of the document: Improving the quality of programme planning process for results*

**Author/Year:** Salas, M., 2005

The review of the quality of selected country programme planning documents, the programme planning process and related guidelines for UNICEF-supported country programmes states that:

#### Capacity building

- CPAPs responses to capacity development are not sufficient considering the high degree of UNICEF's reliance on partner performance to achieve the desired results, and the strategic importance of capacity development, especially of government under the HRBAP
- One issue, which is consistently neglected, is the human resource and capacity building needs. Where appropriate, indicate how CPAPs envisage the strengthening of Government staff capacities through, training and participation

#### Regional capacities in HRBAP

- Government ownership, responsibility and leadership in the planning process are not evident in most of the planning documents [as supposed to be in a HRBAP where host governments have leadership and UNICEF is supporting them]
- Serious efforts have been made by some country programmes to strengthen the capacities (responsibility, authority and resources) and willingness of duty bearers, allowing for increased integration – cross-sectoral, decentralized and participatory approaches to programming. However, this was not generally the case.

#### Supporting national leadership

- Several Country Programme Action Plans (CPAPs) convey the idea of a country programme that is still largely a UNICEF endeavour.
- How the Master Plan of Operations (MPO) or CPAP will contribute to national development plans and priorities was not properly elaborated on in six out of sixteen MPOs/CPAPs that were reviewed. Making reference to the national development plan is not in itself sufficient for guiding future development.

#### Participation

- Supporting rights-holders to demand their rights through expression, decision-making and association, among other activities, is not properly reflected in most CPAPs. There appears to be no mechanism in place to ensure meaningful and substantive rights-holder participation, including children in programming, a requirement in HRBAP and as elaborated in the June 2004 PPP

#### Exclusion

- CPAPs place a strong emphasis on the fate of excluded and marginalised groups. But only a few programmes defined explicitly the marginalized groups and proposed concrete measures to enforce legislation and policy formulation in favour of these groups.

#### PRSP

- Updated statistics were properly used to identify trends related to children and women's rights to the extent possible. However, country programmes where a Situation Analysis of Children and Women (SITAN) had been completed or for which the Poverty Reduction Strategy Paper had been prepared, were better placed in identifying problems and defining trends

#### M&E and accountability

- Programme level log-frames were not prepared for half of the MPOs/CPAPs analysed.
- The results chain sequence (activity, output, outcome and impact) was not evident in most of the programmes analysed

- Several CPAPs were not drafted in unequivocal terms, assigning accountabilities and providing guidance for future programme/project direction. CPAPs represent a binding commitment on the part of the programme participants and should therefore make an attempt to establish accountabilities for implementation and monitoring.

#### Opportunities for UNICEF

- UNICEF's interventions are only part of a much larger collective effort to bring about positive changes for children and women. Thus, fostering strategic partnerships and a clear understanding of who the key contributors are in any given area, and outlining their roles, are critical to human rights-based approach to programming (HRBAP). When preparing the CPAP, partners' support should be examined not only in terms of what can be done, but also how it will be accomplished i.e. selected strategies should reflect consistency with human rights principles.
- The Common Country Assessment (CCA) and SITAN should place increased attention on the identification of the conditions of marginalized groups, especially those affected by multiple dimensions of exclusion.
- When properly up-dated, logframes are also excellent tools for monitoring and evaluation. Efforts should be made to generalize the use of a results-based log-frame as this would facilitate distinguishing activities from outputs, outcomes and impact
- Results based monitoring, impact pathways and theory of change as potentially useful tools.
- There is seemingly no strong commitment from any of the CPs under analysis to undertake joint monitoring and evaluation exercises.
- Planning documents reflect the growing use of rights-based language, such as duty-bearer, rights-holder and accountability. However, the use of such language does not necessarily translate into programmes that are truly rights-based. HRBAP requires that the breadth and scope of the country programme be greater, with a wide-ranging analysis (including causality, role pattern and capacity as well as vulnerability analyses). HRBAP should be consistent throughout the planning process and in all the planning documents.

#### 4. Title of the document: Morocco - UNICEF Country Programme evaluation

**Author/Year:** UNICEF, 2004

#### **Role of HRBAP in evaluation:**

- One of the central evaluation purposes

#### HRBAP in Morocco CP

- Generally speaking, HRBAP was not applied in concrete fashion through the Programme.
- Although the evaluation observed at the Programme level a great desire to take human rights into consideration, promote CRC dissemination and progressively introduce HRBAP elements in projects, it considers that the Programme has not yet fully mainstreamed HRBAP in programming.
- At the level of programme design, HRBAP was partially incorporated through the children situation analysis exercise which preceded the formulation of the 2002-2006 Programme and analyzed the degree of realization of the four categories of basic rights recognized by the CRC:
- However, most projects stemmed more from an alignment of the programme on national policies and a continuation of previous actions than on HRBAP implementation.
- It is appropriate for the Programme – both in its current phase and in the development of the next Programme – to adopt more systematically HRBAP methodology and elements. As such, the Programme will have to integrate in its method



elements of the approach, which have been updated by UNICEF, notably those that deal with the **legal framework**, with the maximum effort of public expenditure and advocacy, the gender component, the participation of children and women, and cultural specificities.

### Capacity building

- Several CRC training projects have been conducted, but the meaning of this training is not always well defined and adapted to target groups; it is more like information on the CRC, which is important at the level of communication and advocacy, but is inadequate in attempting to change behaviours.
- Some actions were conducted for the empowerment of rights holders, especially parents, women and the destitute, but they were marginal and did not stem from vision and systematic intent.

### Opportunities for UNICEF

- Meetings with institutional partners of the Programme and other cooperation have led to further determination of what is considered to be the comparative advantages of the Government of Morocco-UNICEF cooperation.
- The **first recognized advantage** is **UNICEF's role as a protector and promoter of children's rights**. In this role, the fact that UNICEF bases its action on the CRC and HRBAP gives its cooperation indisputable legitimacy, particularly in the area of child protection, and generally speaking in advocacy for all categories of rights, although the use of the HRBAP to promote education and health is a new thing to quite a few people.
- UNICEF's participation to advocacy in an HRBAP perspective is certainly a niche that should be developed more, on account of the difficult situation of the rights of many children in Morocco.
- The Bureau team as well as several partners, particularly among educators, noted the optimism and the open-mindedness of children and adolescents, and acknowledged that their ideas fostered change and addressed inequalities, which conditions are conducive to HRBAP mainstreaming in programming.

### Recommendations of the evaluation constituting opportunities for UNICEF

To operationalize the concept of gender equality and women's rights within the framework of HRBAP, the following recommendations are in order:

- The programming approach (including causality, role and patterns, and capacity analyses) should explicitly integrate a gender-based perspective.
- Planning at the community level should ensure that the views and opinions of girls, women and children are heard and contribute to the decision-making process.
- Since integrating the gender perspective is inherent to human rights-based programming, UNICEF should, in the context of UNDAF, take a leadership role to ensure the integration of gender equality and the rights of girls and women in all United Nations programmes.
- UNICEF should support and commit itself to the monitoring and reporting process rooted in CEDAW.
- The legal reform project should analyze family laws and policies with due consideration to the gender approach; it should contain recommendations which will serve the cause of gender equality and women's rights.
- Macro-analysis and interventions focused on the strategic paper on poverty reduction, sectoral approaches and investment programmes and budget analysis should factor in a gender dimension.

*5. Title of the document: Consolidation and Review of the Main Findings and Lessons Learned of the Case Studies on Operationalizing HRBAP in UNICEF*

**Author/year:** Theis, 2004

### Programming/Operationalizing HRBAP

- The major challenge for a rights-based approach is to change the unequal power relations between rights holders and duty bearers.
- Country teams need conceptual frameworks to develop practical strategies to strengthen the accountability of duty bearers and to support rights holders to claim their rights. Such frameworks and strategies have been developed in TACRO and ESARO.
- Compared to ESARO and TACRO, many HRBAP experiences from the rest of the world are not based on frameworks that operationalize HRBAP for a specific country or regional context.
- Involving a wide range of stakeholder groups in programme processes and in programme cycle events is an integral part of HRBAP to bring about changes between rights holders and duty bearers. This requires a change in organisational culture, new facilitation skills and confidence in dealing with critical feedback from a variety of stakeholders.
- The two human rights principles that many COs find most challenging to operationalize, are accountability and participation (especially child participation). These two principles lie at the core of a rights-based approach with its emphasis on the accountability of duty bearers to fulfil rights and the participation of rights holders to claim what they are entitled to.

### HRBAP support

- HRBAP requires consistent senior management motivation and support at central, regional and country levels
- Country offices lack the support of a regional environment [role of ROs!] of conceptual development and programmatic experimentation
- An additional aim of the review is to propose operational tools for the application of HRBAP for inclusion in the guidance provided by the Programme Policy and Procedure Manual (PPPM),

### Capacity building

- This highlights the need for ongoing support of country teams to sharpen UNICEF staff understanding of accountability of duty bearers and of the participation of rights holders and how to promote them

### Participation

- Most case studies treat children's participation as an add-on rather than as an integral part of programme strategies
- The most recent PPPM contains a section that provides some useful guidance for programming for child participation as an integral part of all programme strategies.

### Women

- Gender equality and women's rights are mentioned in many of the case studies, but largely as add-ons rather than as central concerns. The dominant focus is on children's rights.
- Many country programmes are identifying gender disparities but lack effective strategies to promote women's rights against massive cultural and male opposition.
- Many of the case studies highlight the need to address gender issues more forcefully but fail to present effective strategies to do so

### Levels of work

- Much of the work presented in the case studies focuses on either the national, district or community level. Greater efforts are needed to ensure that the gains made for children's rights at one level are not jeopardised due to the lack of support, capacities and resources at other levels

## Exclusion

- HRBAP leads to a stronger emphasis on excluded and marginalised groups. This is a convenient entry point. Children with disabilities are largely missing from case studies

## PRSP

- The case study on the PRSP process in Bosnia Herzegovina is a notable exception.

## UN collaboration

- UN collaboration on HRBAP implementation is limited (according to the case studies). Reasons for this include general difficulties of inter-agency collaboration and different levels of understanding of HRBAP among UN agencies. UNICEF is regarded as the pioneering agency for operationalizing HRBAP within the UN.

## ESARO/TACRO

- One of the most important contributions of the East African and Latin American “models” is to have adapted the HRBAP to two very different cultural, political, social and economic environments. The following box shows some of the major differences between Latin America and East and Southern Africa. This is necessarily a simplification, but it helps to understand why the two regions have developed such different rights-based strategies.

<b>Latin America:</b>	<b>East and Southern Africa:</b>
<ul style="list-style-type: none"> <li>• Literate societies</li> <li>• Robust mass media</li> <li>• Active civil society</li> <li>• Strong, often authoritarian governments</li> <li>• Strong commitment to human rights</li> <li>• Economic crises</li> <li>• High levels of socioeconomic inequality</li> <li>• Marginalisation of minority populations and ethnic conflicts</li> </ul>	<ul style="list-style-type: none"> <li>• HIV/AIDS</li> <li>• Civil war</li> <li>• International debt</li> <li>• Poverty</li> <li>• Weak (or authoritarian) government structures</li> <li>• Institutions lack human capacity, resources and experience</li> <li>• Lack of robust middle class in most countries</li> <li>• Lack of organised civil society</li> <li>• Limited potential for reaching people through mass communications</li> <li>• Lack of commitment to human rights</li> <li>• ESARO is faced with a multidimensional crisis in which the deprivation of child rights is often a life-or-death matter and only very limited economic and human resources are available to tackle these problems</li> </ul>

Summary of case studies:

### Overview of geographic and programmatic distribution of case studies

<b>Countries</b>	<b>Programme areas and issues</b>	<b>Ref No.</b>
<i>Americas and the Caribbean (15 case studies)</i>		
Brazil, Costa Rica, Venezuela	Legal and institutional reform Public policy reform Communication and social mobilisation	1
Brazil, Ecuador, Costa Rica, El Salvador	Indicators and monitoring of children’s rights Communication and awareness raising	2
Chile, Argentina, Uruguay	Legal reform Institutional reform	5

Brazil	Child budget and expenditure analysis	6
Peru	Focus on marginalised regions and population groups Safe motherhood Early child-care for survival, growth and development Basic education Adolescent participation Protection of the rights of children and adolescents Monitoring child rights	9
Bolivia	Bilingual education	14
Ecuador	Child budgets	15
Chile	Primary and secondary education	17c
<b><i>Central and Eastern Europe, the Commonwealth of Independent States and the Baltic States (1 case study)</i></b>		
Bosnia Herzegovina	Process of developing Poverty Reduction Strategy Paper (PRSP)	24
<b><i>Eastern and Southern Africa (10 case studies)</i></b>		
Tanzania, Swaziland, Botswana	Community Capacity Development HIV/AIDS Mother-to-child transmission of HIV	16
Malawi	Community-based integrated management of childhood illnesses	18
Uganda	Programme strategy development process HIV/AIDS: rights to self-protection Maternal well-being Early Childhood Development and rights Community-based malaria prevention and control Child-friendly basic education and learning Rights of children in armed conflict	20
Zimbabwe	Community Capacity Development	19 & 21
Mozambique	Malaria awareness, prevention, control and treatment	19 & 23
Tanzania	Community Capacity Development HIV/AIDS	19 & 22
<b><i>Western and Central Africa (3 case studies)</i></b>		
Mali	Harmonising national legislation with the CRC and CEDAW CRC and CEDAW training Monitoring and information systems Situation analysis of children National Plan of Action	7
Ghana	Africa-wide workshop on experiences in community-based approaches to child survival, protection, participation and development (CSPD)	13
Eritrea	Study on education of girls	17b
Burkina Faso	Education	17a
<b><i>East Asia and the Pacific (1 case study)</i></b>		
Vietnam	General assessment of child rights situation: legislation, rule of law, justice system, concept of child, media, decentralisation, family, social sector policies	4
<b><i>South Asia (2 case studies)</i></b>		
Pakistan	Workshop report on rights-based approach to programming	3
Nepal	Staff capacity building and analysis	12

<i>Middle East and North Africa (3 case studies)</i>		
Oman	CRC reporting CRC capacity building Review of child rights situation	8
Jordan	Promotion and monitoring of child rights Primary health care, nutrition, life skills Education and Early Childhood Development Community empowerment	10
Morocco	Education quality, Early Childhood Development and out-of-school children Health: immunisation, access to primary health care, prevention of malnutrition, HIV/AIDS, WES Strengthening local capacity, surveys and analysis at community level, introduce protection and participation Child protection, child labour, children living in the street Communication and promotion of children's voices	11









## Annex 2: Review of external evaluations concerning HRBAP










This table summarises the findings of a number of external reviews of UNICEF, in relation to the various aspects of the present evaluation's terms of reference. The colour coding is as follows:

- Green: evaluation conclusion is positive on this issue
- Yellow: evaluation conclusion is neutral on this issue
- Red: evaluation conclusion is critical on this issue









The following documents were assessed:

- UNICEF, 2002: Application of the human rights-based approach to programming in UNICEF country programmes of cooperation
- O'Neill, W.G. 2003: The Current Status of Human Rights Mainstreaming - Review of Selected CCA/UNDAFs and RC Annual Reports
- Moser, C, Moser, A., 2003: Moving ahead with human rights: Assessment of the Operationalization of the Human Rights Based Approach in UNICEF Programming: 2002
- Raphael, 2004: HRBAP Progress Review 2003 - Implementation of Human Rights Approach to Programming in UNICEF Country Offices (1998-2003)
- UNICEF, 2004: Morocco - UNICEF Country Programme evaluation
- Theis, J. 2004: Consolidation and Review of the Main Findings and Lessons Learned of the Case Studies on Operationalizing HRBAP in UNICEF
- Friedman, 2004: A Discussion Paper: The Human Rights Based Approach to Programming at UNICEF and its Implications for Evaluation
- UNICEF, 2004: Evaluación del programa de cooperación Perú - UNICEF
- UNICEF, 2005: Country programme Evaluation Cambodia
- Salas, M., 2005: Improving the quality of programme planning process for results
- Human Rights-based Approach to Programming, including Gender Mainstreaming and Women's Rights, and UNICEF's MTSP - Joint questionnaire analysis, Global Policy Section, DPP












		Literature review of HRBAP: according to TOR and based on external evaluations
Assessment	Source	<b>1. Human Resources Development</b>
	Theis, 2004	1.1 The extent to which UNICEF strategies at global level have contributed to capacity development on HRBAP; UNICEF: [There is a] need for ongoing support of country teams to sharpen UNICEF staff understanding of accountability of duty bearers and of the participation of rights holders and how to promote them
	Salas, 2005	CPAPs responses to capacity development are not sufficient considering the high degree of UNICEF's reliance on partner performance to achieve the desired results, and the strategic importance of capacity development, especially of government under the HRBAP
	O'Neill, 2003	Partners: Training opportunities for the HRBAP and mainstreaming should be systematic and available to all UNCT members
	Raphael, 2004	62% of participating COs reported significant national capacity building activities
	Freeman, 2004?	Perhaps the most commonly cited and strongly expected change in UNICEF programming at country level under HRBAP is a greater emphasis on capacity development of both duty bearers and rights holders to overcome factors impeding the realization of rights
	Salas, 2005	One issue, which is consistently neglected, is the human resource and capacity building needs. Where appropriate, indicate how CPAPs envisage the strengthening of Government staff capacities through, training and participation
	Joint questionnaire analysis	Several countries also specified Training and advocacy, including Bhutan, which mentioned advocacy for the establishment of a Commission for Children and Women.
	Joint questionnaire analysis	MENARO commented that most country offices are not familiar with the HRBAP and are thus unable to apply it to MTSP priority areas, and that HRBAP's process-oriented approach puts it in conflict with "conflicting pressures of short-term results orientation."
	Joint questionnaire analysis	steps taken most frequently by UNICEF COs to improve monitoring of progress in realising children's rights were(.) (2) support for the creation and capacity building of national and/or subnational child rights monitoring bodies











		1.2 The type of staff capacities the Project has contributed to build (and the extent to which UNICEF staff can be considered technically equipped to apply a HRBAP).
	UNICEF, 2002	In 1999, only 5 Country Offices mentioned HRBAP training, compared to 19 in 2001
	Moser & Moser, 2003	Available data shows a decline in both staff and counterpart capacity building/training in HRBAP from 14% in 2000 and 15% in 2001, down to 9% in 2002, it cannot clarify whether this is a consequence of previous training, the incorporation of HRBAP training into PPT, or 'self-learning'
	Raphael, 2004	The review concludes that UNICEF would be well advised to redouble training effort among its own staff, as the first critical building block toward incorporating the HRBAP in country programming activities.
	Raphael, 2004	Only when UNICEF staff have a firm grasp of the approach can they effectively present it to partners and counterparts and expand its implementation in a wide variety of projects and programmes. It is at this point that effective HRBAP programming can take off and lead to large-scale national capacity building
	Raphael, 2004	This situation demands a rapid response aimed particularly at intensifying training efforts in COs still at an early stage of understanding HRBAP to help them get started.
	Raphael, 2004	responses suggest a need for two levels of training; one more introductory, and the other more specialised, for senior programme staff involved in day-to-day application of HRBAP and in conceptualising how UNICEF's interventions fit into global development efforts in a given country and how to incorporate a HRBAP into these broader processes. UNICEF's training strategy developed in 2002 foresees this need, with its three tiers of training, so the issue becomes one of ensuring that the training modules reach staff.
	Morocco CPE, 2004	Several CRC training projects have been conducted, but the meaning of this training is not always well defined and adapted to target groups; it is more like information on the CRC, which is important at the level of communication and advocacy, but is inadequate in attempting to change behaviours.
	Morocco CPE, 2004	Some actions were conducted for the empowerment of rights holders, especially parents, women and the destitute, but they were marginal and did not stem from vision and systematic intent.




















	Peru CPE, 2005	One of the comparative advantages of the Peru – UNICEF CP is the improvement of the sensitisation, the knowledge and the competences for the responsible to protect rights and the rights holders themselves
	Joint questionnaire analysis	COs were nearly unanimous in their call for enhanced efforts to build capacity for gender mainstreaming and application of the HRBAP – among UNICEF staff, other UN agencies, counterparts, and NGO partners.
	Joint questionnaire analysis	Core course on human rights: 8 COs (61%) Gender training : 4 COs (30%)
	Joint questionnaire analysis	Overall, the need to improve staff capacity on the operationalization of the HRBAP including gender mainstreaming at country level was identified by several countries (Bangladesh, Turkmenistan, India).
	Joint questionnaire analysis	eight of 13 COs (JQ) reported some HRBAP training, although most acknowledged that more training of more people is required; only four COs reported having conducted training on gender issues.
		<b>2. Documentation, assessment, dissemination and application of experiences</b>
		<b>2.1</b> The extent to which the systematic assessment, documentation and dissemination of country-experiences in the application of a HRBAP have informed better programming practices and have been reflected in development policies and frameworks;
	UNICEF, 2002	In 1999, a review of the documentation from 41 Country Offices found that 15 reported using a human rights-based approach to programming <sup>1</sup> . In 2000, 39 (or 31%) reported being rights-based. By the end of 2001, 50 Country Offices reported using a human rights-based approach and another 10 reported plans to do so in 2002.
	UNICEF, 2002	Country Offices themselves sometimes justify reverting to more traditional needs-based approaches in situations of uncertainty or crisis or absolute poverty. In addition, Country Offices sometimes must convince themselves as well as their partners that focusing on the most marginalized makes sense – and will not detract from their other goals.
	UNICEF, 2002	At this stage, early in the transition to HRBAP, the problem is not so much of strategies that have been tried (...) For example, a number of Country Offices noted that even where disaggregated data are available, they are not being used for planning purposes.











<sup>1</sup> A strict quantitative comparison of the three years is not possible because only 41 countries were assessed in 1999. However, all of the countries identified in a preliminary analysis as using human rights approaches were included in the 1999 review. Therefore, the 1999 numbers of those demonstrating HRBAP principles have been used, for the purposes of a rough comparison, as effective numbers for the year.












	Moser & Moser, 2003	The CNs and CPRs, the two most important planning documents, show in trend terms that a HRBAP is no longer a new, special issue, but is now standard procedure in almost all the planned Country Programme goals and some objectives
	Moser & Moser, 2003	In 2000, 21 COs (17%) mentioned the role of duty-bearers and rights holders, in 2001 it was 24%, and by 2002 just over one third (38%) of COs were using this rights-based terminology
	Moser & Moser, 2003	There are a very limited number of initiatives that seek to address public budgets from a HRBAP
	O'Neill, 2003	There is no single model or "silver bullet" that magically confers a "human rights-based approach" on a given program. Rather, rights-based programming usually has one or more (...) characteristics. There is an overwhelming emphasis on economic, social and cultural rights at the expense of civil and political rights
	Morocco CPE, 2004	At the level of programme design, HRBAP was partially incorporated through the children situation analysis exercise which preceded the formulation of the 2002-2006 Programme and analyzed the degree of realization of the four categories of basic rights recognized by the CRC:
	Freeman, 2004?	HRBAP has brought with it a very strong emphasis on first assessing and then supporting the development of capacity among rights holders and duty bearers
	Theis, 2004	Country teams need conceptual frameworks to develop practical strategies to strengthen the accountability of duty bearers and to support rights holders to claim their rights. Such frameworks and strategies have been developed in TACRO and ESARO.
	Raphael, 2004	The thinking that has been taking place among UNICEF staff who have been deeply engaged in developing the HRBAP – and the practice that has developed in some COs where HRBAP has been rolled out – need to be shared more systematically with UNICEF staff around the world if the approach is to take off on a national scale in more countries
	Raphael, 2004	The 2003 Review suggests that the agency is on the cusp of a major breakthrough: 56% of COs reported using HRBAP to develop new Country Programmes or Situation Analyses, [up from 38% in 2002]
	Raphael, 2004	68% of CO's reported improved effectiveness as a result of efforts to ensure that partners and counterparts understand and appreciate the new approach.
	Raphael, 2004	There is no lack of good practice within UNICEF; what is lacking is documentation of those approaches – prepared strictly for operational use – that can serve as an inspiration or model for COs at beginning stages










	Theis, 2004	An additional aim of the review is to propose operational tools for the application of HRBAP for inclusion in the guidance provided by the Programme Policy and Procedure Manual (PPPM),
	Theis, 2004	Compared to ESARO and TACRO, many HRBAP experiences from the rest of the world are not based on frameworks that operationalize HRBAP for a specific country or regional context
	Joint questionnaire analysis	Training for counterparts, the dissemination of good practices and lessons learned, and the creation of communication tools on HRBAP, including gender, were also recognized as important areas (Bangladesh, Congo, Egypt, Nigeria, Laos).
	Joint questionnaire analysis	COs stressed the need for practical training and examples of best practices
	Moser & Moser, 2003	Gender equality and women's rights: frequently the focus is primarily, if not entirely, on children, and if on women, then in their mothering role. This does not automatically mean that programming for the realization of women's rights is being undertaken, or that the mainstreaming of gender issues is occurring in a systematic manner
	Moser & Moser, 2003	In 2000, 86% of CNs and CPRs mentioned plans targeting the realization of women's rights; by 2001 this had dropped to 85% and in 2002 only 69% of CNs and CPRs mentioned such plans.
	Theis, 2004	Gender equality and women's rights are mentioned in many of the case studies, but largely as add-ons rather than as central concerns. The dominant focus is on children's rights.
	Theis, 2004	Many country programmes are identifying gender disparities but lack effective strategies to promote women's rights against massive cultural and male opposition.
	Cambodia CPE, 2005	There has been insufficient emphasis on gender equality and empowerment of women To enhance gender sensitivity, there is a general need for gender-disaggregated data. Most importantly, however, even if empowerment of women is the ultimate aim, gender relations need to be addressed in all programmatic approaches that are addressed to both girls and boys and to women and men.
	UNICEF, 2002	Participation: Child and adolescent participation are enjoying much more emphasis over the last two years. In 2001, UNICEF supported national consultations or youth parliaments in 40 countries to raise awareness on issues affecting young people. It now supports adolescent peer-to-peer health education programmes in 71 countries, primarily in the areas of HIV/AIDS prevention.

	Moser & Moser, 2003	The principle of participation is extremely well understood by COs, with a widespread proliferation of activities around the participation of children
	Moser & Moser, 2003	A range of innovative participatory techniques are being strategically adopted by COs to push the agenda on a HRBAP. These include participatory processes to draft legislation, contribute to PRSPs and CCAs
	Theis, 2004	Most case studies treat children's participation as an add-on rather than as an integral part of programme strategies
	Salas, 2005	Supporting rights-holders to demand their rights through expression, decision-making and association, among other activities, is not properly reflected in most CPAPs. There appears to be no mechanism in place to ensure meaningful and substantive rights-holder participation, including children in programming, a requirement in HRBAP and as elaborated in the June 2004 PPPM
	Cambodia CPE, 2005	The MTR does report on some incidental examples of child participation, but admits that child and youth participation was neither substantial nor systematic during the first half of the current CPC and that more conscious efforts would have to be made in this regard.
	Joint questionnaire analysis	Promoting participation in programming and monitoring: Youth: 13 COs; 100% Girls: 12 COs; 92% Families and communities: 12 COs; 92%
	Joint questionnaire analysis	Promoting participation in programming and monitoring: Women: 10 COs, 77%
	UNICEF, 2002	Accountability: There has been a steady increase over the last three years in the use of the principle of accountability. In 1999, only 15 countries made reference in their documentation to state, community, family or caregiver responsibilities to fulfil children's rights. This rose to 21 in 2000 and 30 in 2001
	UNICEF, 2002	Principle of universality/non-discrimination: the collection of disaggregated data has increased substantially, to a total of 45 countries in 2000 and 2001; UNICEF worked in partnership with CBOs, NGOs and other UN agencies in support of programmes to address the issue of gender-based violence in 55 countries in 2001, compared to 38 in 2000;
	Salas, 2005	Exclusion: CPAPs place a strong emphasis on the fate of excluded and marginalised groups. But only a few programmes defined explicitly the marginalized groups and proposed concrete measures to enforce legislation and policy formulation in favour of these groups.













		2.2 The nature of the lessons learned disseminated through UNICEF case studies and other relevant documentation, i.e. were they anchored on verified assessments or rather based on subjective perceptions?
		2.3 The effectiveness of UNICEF programme guidance issued to support ROs and COs in applying the approach;
	Moser & Moser, 2003	There is still considerable ambiguity in UNICEF's relation to CEDAW, reflecting the lack of reporting guidelines in the EXDIR or PPPM
	Moser & Moser, 2003	In the area of legislation the assessment highlights an extensive range of initiatives. However, the lack of clear guidance in the EXDIR means this proliferating area of activity lacks a coherent overall institutional strategy
	Theis, 2004	The most recent PPPM contains a section that provides some useful guidance for programming for child participation as an integral part of all programme strategies.
	Raphael, 2004	The responses also suggest a need for updated UNICEF HQ guidelines, to include more concrete examples of how to incorporate HRBAP into country programming. In 2004, COs want to know more about the nuts and bolts of HRBAP, rather than the principles and theory.
	Raphael, 2004	COs need new guidance, especially on practical aspects of HRBAP implementation, and examples of best practice in a variety of programming areas to provide ideas and examples as they begin to apply the rights-based approach. Meeting these needs for building staff and partner/counterpart capacity is crucial
		2.4 The extent to which initiatives such as the UNICEF HRBAP Global Consultations on HRBAP have contributed to furthering organizational learning on and identifying the practical implications of a HRBAP.
	Theis, 2004	Involving a wide range of stakeholder groups in programme processes and in programme cycle events is an integral part of HRBAP to bring about changes between rights holders and duty bearers. This requires a change in organisational culture, new facilitation skills and confidence in dealing with critical feedback from a variety of stakeholders
		3. Development of Indicators for Global Monitoring of the Rights of Children
		3.1 The extent to which additional indicators have been identified and developed
		3.2 The extent to which, and how, they are informed by the basics of a HRBAP
		4. Strengthening and reinforcement of regional capacities in human rights-based programming
		4.1 The extent to which recommendations and lessons learned has been systematically applied to key phases of the programme cycle and programme review at Regional and Country Office level; Operationalizing
	UNICEF, 2002	The new inter-sectoral programming structures are often at odds with government sectoral structures, making coordination difficult and slowing down the running of the new programmes









	Moser & Moser, 2003	In assessing comparative regional experience, evidence suggests that there are significant variations in the ways that different regions interpret a HRBAP
	Moser & Moser, 2003	The COARs consistently identify and describe activities and programmes as if UNICEF were the owners. Yet more correctly UNICEF's true role is in 'assisting' and 'supporting' government, CSOs and local communities as the rightful owners of such activities
	Moser & Moser, 2003	Almost all COARs report on policy developments relevant to children and women, however UNICEF's role in these developments was often unclear from the data available. Thus, it is not possible to assess whether UNICEF COs were actively engaged in work to strengthen or influence policy in favour of children's and women's rights, or if they were simply documenting such changes as they arose
	O'Neill, 2003	The documents resonate with human rights principles, language, standards and practices. Duties and responsibilities also figure prominently in analyzing a new relationship between governed and government. The word "need" hardly ever appears.
	Freeman, 2004?	Evidence presented at Global consultations and in Moser and Moser (2003) suggests that UNICEF country programmes are moving in the directions [of operationalizing HRBAP]
	Theis, 2004	The major challenge for a rights-based approach is to change the unequal power relations between rights holders and duty bearers
	Theis, 2004	The two human rights principles that many COs find most challenging to operationalize, are accountability and participation (especially child participation).
	Theis, 2004	Much of the work presented in the case studies focuses on either the national, district or community level. Greater efforts are needed to ensure that the gains made for children's rights at one level are not jeopardised due to the lack of support, capacities and resources at other levels
	Theis, 2004	Many of the case studies highlight the need to address gender issues more forcefully but fail to present effective strategies to do so
	Raphael, 2004	UNICEF needs to address the more operational obstacles being faced in countries with greater HRBAP experience, since many of the same problems may arise in other countries as HRBAP becomes integrated into more and more country programmes.






	Raphael, 2004	About 25 UNICEF COs have developed a Country Programme utilising a fully developed HRBAP (80 offices responded).
	Raphael, 2004	As can be seen by responses to questions about changes in design, focus, strategies, and processes, many other COs have used a HRBAP to generate innovative programming interventions
	Morocco CPE, 2004	Most projects stemmed more from an alignment of the programme on national policies and a continuation of previous actions than on HRBAP implementation.
	Morocco CPE, 2004	Generally speaking, HRBAP was not applied in concrete fashion through the Programme.
	Peru CPE, 2005	The new country programme showed some progress in implementing HRBAP and the focus on “what” and “how” could be précised.
	Peru CPE, 2005	Thanks to HRBAP, the country programme supports communities and institutions in making them realise their rights and by offering quality services to pay attention to priority problems
	Peru CPE, 2005	HRBAP should not be only process focused but also on new measurable products, effects and impacts. Based on an IMEP (Integrated M&E plan), specific SMART objectives should be formulated, as outlined in the PPPM since 1995. Neither in the country programme 1996 – 2000 nor in the CP 2001 –2005 such a IMEP exists
	Salas, 2005	Government ownership, responsibility and leadership in the planning process are not evident in most of the planning documents [as supposed to be in a HRBAP where host governments have leadership and UNICEF is supporting them]
	Salas, 2005	Serious efforts have been made by some country programmes to strengthen the capacities (responsibility, authority and resources) and willingness of duty bearers, allowing for increased integration – cross-sectoral, decentralized and participatory approaches to programming. However, this was not generally the case.
	Salas, 2005	Several Country Programme Action Plans (CPAPs) convey the idea of a country programme that is still largely a UNICEF endeavour.
	Salas, 2005	How the Master Plan of Operations (MPO) or CPAP will contribute to national development plans and priorities was not properly elaborated on in six out of sixteen MPOs/CPAPs that were reviewed. Making reference to the national development plan is not in itself sufficient for guiding future development.

	Theis, 2004	Exclusion: HRBAP leads to a stronger emphasis on excluded and marginalised groups. This is a convenient entry point.
	Theis, 2004	Children with disabilities are largely missing from case studies
		4.2 The extent to which the different activities supported by the Project have contributed to establish/ strengthen regional mechanisms to facilitate and monitor the progressive application of the approach at country level (see sub-project four, especially).
		M&E in UNICEF in general:
	Salas, 2005	Programme level log-frames were not prepared for half of the MPOs/CPAPs analysed.
	Salas, 2005	The results chain sequence (activity, output, outcome and impact) was not evident in most of the programmes analysed
	Salas, 2005	Several CPAPs were not drafted in unequivocal terms, assigning accountabilities and providing guidance for future programme/ project direction. CPAPs represent a binding commitment on the part of the programme participants and should therefore make an attempt to establish accountabilities for implementation and monitoring
		M&E in HRBAP
	Salas, 2005	There is seemingly no strong commitment from any of the CPs under analysis to undertake joint monitoring and evaluation exercises [as proposed under the HRBAP ]
		4.3 The evaluation will not only look at the challenges of the implementation phase; it will also consider how HQ, Regional and Country Offices have sized existing opportunities. More in general the study will identify the elements of success for a systematic application of a HRBAP.
	O'Neill, 2003	UNICEF has frequently taken advantage of this invitation by providing relevant and timely information to the Committee on the Rights of the Child. UNICEF has come to see the CRC as “no longer ... just a human rights convention, but as a powerful instrument of change with respect to national child policies and UNICEF’s own approach
	Theis, 2004	HRBAP requires consistent senior management motivation and support at central, regional and country levels
	Theis, 2004	Country offices lack the support of a regional environment [role of ROs] of conceptual development and programmatic experimentation



	Salas, 2005	Updated statistics were properly used to identify trends related to children and women's rights to the extent possible. However, country programmes where a Situation Analysis of Children and Women (SITAN) had been completed or for which the Poverty Reduction Strategy Paper had been prepared, were better placed in identifying problems and defining trends
	Cambodia CPE, 2005	CPE: One of the three strategic dimensions evaluated is HRBAP
	Peru CPE, 2005	HRBAP is one of the three special dimensions evaluated
	Moser & Moser, 2003	PRSP process: Equally, UNICEF is supporting work with IFIs in interagency initiatives such as PRSPs and SWAPs
	Moser & Moser, 2003	Work towards ensuring child rights are taken into account in Poverty Reduction Strategy Papers (PRSPs) was 17 in 2000 and more than 30 in 2002
	O'Neill, 2003	PRSP process: Poverty reduction and human rights: Zambia CCA, Morocco UNDAF, Yemen 2001 CCA, Honduras CCA, Ecuador CCA 2002, Colombia UNDAF 2002 – 2004, Tanzania UNDAF 2002 – 2006
	Theis, 2004	The case study on the PRSP process in Bosnia Herzegovina is a notable exception.
	Joint – questionnaire analysis	In countries preparing PRSPs, UNICEF COs contributed by providing data on poverty among women and children. The Mauritania CO, for example
	Moser & Moser, 2003	SWAP: In 2000 the figure for Sector-Wide Approaches to Planning (SWAPs) was 10, and 15 in 2002
	UNICEF, 2002	CCA: UNICEF is taking the lead in putting human rights on the agenda of many UN country teams. A total of 28 countries in 2000 and 2001 reported that their CCAs and/or UNDAFs were human rights-based
	UNICEF, 2002	Sometimes there is a dislocation between UNICEF's new rights-based programming and that of its partners (including other UN agencies) that continue to be needs- or relief-based.
	Moser & Moser, 2003	CCAs and United Nations Development Assistance Frameworks (UNDAFs) that are rights-based was 28 in 2000 and 26 in 2002

	Joint - questionnaire analysis	CCA: The Jordan CO, for example, noted that by taking a leading role in CCA preparation it had succeeded in developing a "rights-based, gender-sensitive" framework for the CCA
	Joint - questionnaire analysis	CRC: A few COs reported strong and effective use of CRC Reports and Concluding Observations, while other noted either that the reporting process was not yet complete in their country or that the timing was such that the reporting would only be used in the next round of Situation Analysis (SITAN) or Country Programme formulation
	UNICEF, 2002	CRC: As Country Offices work more directly to implement the principles of the CRC, the Committee on the Rights of the Child has become an increasingly significant influence on their programmes. Three quarters of UNICEF Country Offices reported on some involvement with the Committee in 2000 and 2001.
	Moser & Moser, 2003	CRC recommendations and observations are now taken into account in the design of new programmes.
	UNICEF, 2002	CEDAW: The relationship with the CEDAW Committee is less strong, but appears to be growing gradually - with a total of ten Country Offices in 2000 and 2001 reporting that they provided technical and/or financial support to the preparation of governments' reports to the Committee.
	Joint - questionnaire analysis	In Bhutan, Bangladesh, Nigeria, Mauritania and Jordan CEDAW has been incorporated into programming for the MTR process.
	Joint - questionnaire analysis	EAPRO stressed the need to recognise that UNICEF's mandate is different for CEDAW than for CRC, in that its role in implementing CEDAW is not clearly recognised
	Joint - questionnaire analysis	Some countries noted that the CRC is more accepted as being part of UNICEF's mandate than is CEDAW
		<b>5. Project Management</b>
		5.1 Project ability to mainstream and overcome obstacles to mainstream

		5.2 The extent to which the Project has adapted to changing situations and seized opportunities
		5.3 How progress in the various components has been monitored
		5.4 Links with DFID and other international partners
	O'Neill, 2003	Human rights have come to occupy a central place in how many UNCTs analyze the development challenges in their countries. Human rights-based programming also shapes both the proposed substantive programs to address these challenges and the process of engaging the people concerned.
	Moser & Moser, 2003	UNICEF is playing an important role in ensuring that child rights are taken into account in UN reform processes through the CCAs and UNDAFs
	O'Neill, 2003	There is no evidence of integration of the country work of the Office of the High Commissioner for Human Rights (OHCHR) in CCA/UNDAs. For example, the OHCHR annually implements several dozen "technical cooperation projects" usually in the realm of the rule of law and human rights education. Yet I never saw a UNCT refer to one of these in any of the CCA/UNDAs reviewed
	Theis, 2004	UN collaboration on HRBAP implementation is limited (according to the case studies). Reasons for this include general difficulties of inter-agency collaboration and different levels of understanding of HRBAP among UN agencies. UNICEF is regarded as the pioneering agency for operationalizing HRBAP within the UN.
		<b>6. Additional issues: Role of UNICEF in HRBAP</b>
	O'Neill, 2003	Carol Bellamy's EXDIR is reflected centrally in the document as a milestone in HRBAP

### Annex 3: Literature review of HRBAP – external evaluations

The literature review of external reviews of HRBAP in UNICEF is guided by the key areas and questions posed in the TOR. The assessment uses a traffic light system and is based on the statements in the external documentation about these key areas. The reviewer applied the following scoring: Green = positive; amber = neutral; red = negative.

It is important to state that this assessment is accompanied by a review of internal project monitoring reports, training materials and HRBAP case studies. The findings of this particular review will be triangulated with the findings of these other desk-based reviews and the field visits.

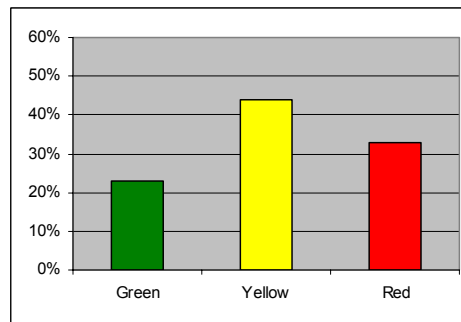
The results of the assessment of external reviews and evaluations are presented below:

#### 1. Human resources development

##### 1.1 The extent to which UNICEF strategies at global level have contributed to capacity development on HRBAP

The documentation is showing a mixed picture in that area. About 25% of specific statements made in the reviewed materials are positive and show progress in capacity building e.g. in Buthan. 45% of statements are neutral and 35% negative. Critique is mostly mentioned in Salas, 2005 and the joint questionnaire analysis where the following issues were raised:

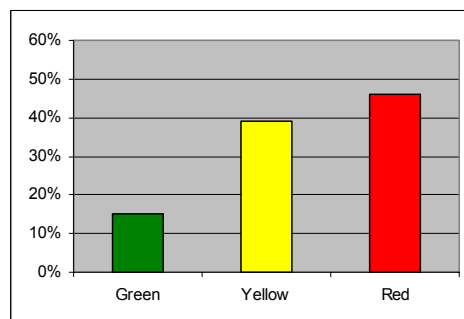
- Country programme action plans responses to capacity development are not sufficient
- Capacity building is consistently being neglected
- Middle East and North Africa RO commented that most country offices are not familiar with the HRBAP and are thus unable to apply it to Mid Term Strategic Planning (MTSP) priority areas



##### 1.2 The type of staff capacities the projects has contributed to build (and the extent to which UNICEF staff can be considered technically equipped to apply a HRBAP)

This issue is assessed in the external documentation more critical than point 1.1. About 15% of statements focusing specifically on the technical capacity of staff to apply HRBAP are positive. The case of the Peru Country Programme Evaluation (CPE) is an example of a positive assessment.

Approximately 40% of statements are neutral and over 45% are negative. Raphael, 2004, the Morocco CPE and the Joint Questionnaire Analysis are overall very critical and indicate a general lack of technical capacity.



## 2. Documentation, assessment, dissemination and application of experiences

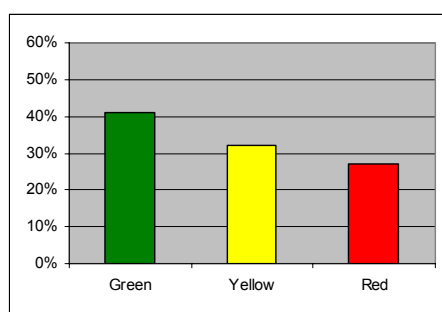
### 2.1 The extent to which the systematic assessment, documentation and dissemination of country-experiences in the application of a HRBAP have informed better programming practices and have been reflected in development policies and frameworks

The external assessments are more positive on this issue. Over 40% of statements are positive, slightly over 30% neutral and slightly under 30% negative.

Moser and Moser, 2003 mention the increase of the use of rights-based terminology from 17% of COs in 2001 to 38% in 2002. This number increased to 56% in 2003 (Raphael, 2004).

The Joint Questionnaire Analysis showed furthermore a high degree of participation of youth, girls and families and communities in programming and monitoring.

In Cambodia however, the CPE criticized that there has been insufficient emphasis on gender equality, empowerment of women and the participation of children.

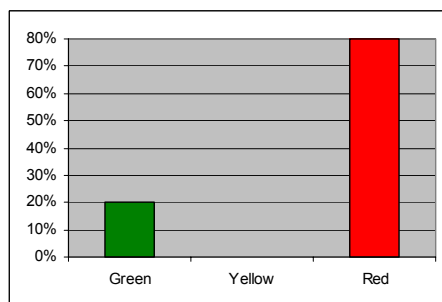


### 2.2 The nature of the lessons learned disseminated through UNICEF case studies and other relevant documentation, i.e. were they anchored on verified assessments or rather based on subjective perceptions?

See Annex 2, review of case studies on HRBAP.

### 2.3 The effectiveness of UNICEF programme guidance issued to support ROs and COs in applying the approach

The effectiveness of programme guidance is an area that is not intensely assessed, but is the area that is most critically commented on in the external documentation.



While Theis, 2004 highlights some useful guidance for programming for child participation in the latest PPPM, Raphael, 2004 and Moser and Moser, 2003 criticise the following issues:

- Considerable ambiguity in UNICEF’s relation to CEDAW, reflecting the lack of reporting guidelines in the EXDIR or PPPM
- Lack of clear guidance in the EXDIR in the area of legislation
- Need for updated UNICEF HQ guidelines
- COs need new guidance, especially on practical aspects of HRBAP implementation

### 3. Development of Indicators for Global Monitoring of the Rights of Children

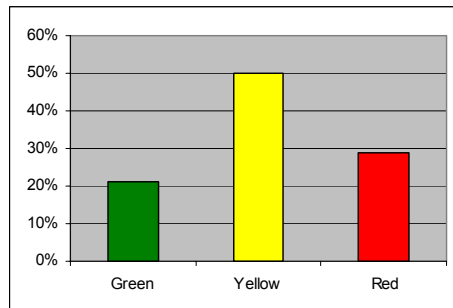
The external documents have not commented on the development of indicators for global monitoring of the rights of children. This issue is covered in the internal UNICEF HRBAP project monitoring reports.

### 4. Strengthening and reinforcement of regional capacities in human rights-based programming

#### 4.1 The extent to which recommendations and lessons learned has been systematically applied to key phases of the programme cycle and programme review at Regional and Country Office level

The systematic application of recommendations and lessons learned has been most extensively commented on in the external review documents. About 20% of statements are positive, 50% neutral and 30% negative. As one of many positive examples, the Peru CPE states:

- “Thanks to HRBAP, the country programme supports communities and institutions in making them realise their rights and by offering quality services to pay to priority problems”



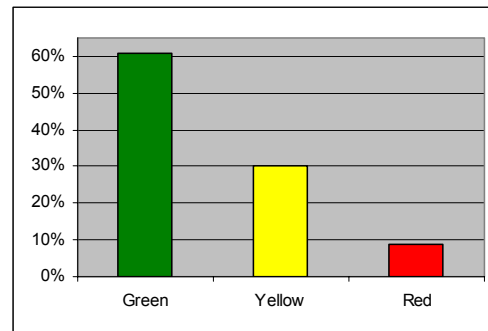
Negative statements cover general operationalization issues and specifically the area of gender and children with disabilities (Theis, 2004) or the lack of government ownership, responsibility and leadership (Salas, 2005).

#### 4.2 The extent to which the different activities supported by the Project have contributed to establish/strengthen regional mechanisms to facilitate and monitor the progressive application of the approach at country level

Only Salas, 2005 commented specifically on this issue. All his comments are negative, mostly focusing on weak M&E systems, a phenomenon that is not unique to UNICEF.

#### 4.3 The evaluation will also consider how HQ, Regional and Country Offices have seized existing opportunities. More in general the study will identify the elements of success for a systematic application of a HRBAP.

The opportunities HRBAP seized are the area that is most positively assessed in external documents. Over 60% of statements are positive, 30% neutral and less than 10% negative. The Cambodia CPE, Peru CPE and Joint Questionnaire Analysis are only some of the documents that assess this issue positively. The PRSP, CCA and CCR are examples of processes where HRBAP sized opportunities. A critical comment focuses on the CEDAW process although Bhutan, Bangladesh, Nigeria, Mauritania and Jordan are mentioned as examples where CEDAW has been incorporated into programming for the MTR process (Joint Questionnaire Review).



## 5. Project Management

### 5.1 Project ability to mainstream and overcome obstacles to mainstream

No answer

### 5.2 The extent to which the Project has adapted to changing situations and seized opportunities

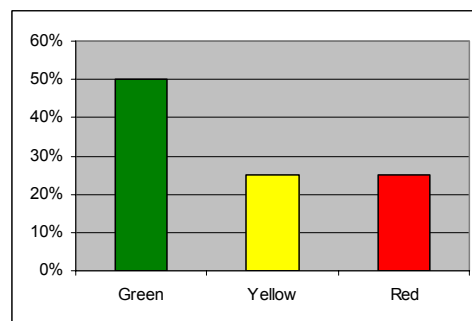
No answer

### 5.3 How progress in the various components has been monitored

No answer

### 5.4 Links with DFID and other international partners

50% of statements about links with international partners are positive, about 25% are neutral and 25% negative. Positive comments mention the UN Reform process and the UNCT.



## **Annex 4: Regional and country level sub reports**

These reports concern some of the countries that were visited, where the evaluator prepared the aide-memoires below and shared them with the office concerned.

### **El Salvador Country Office**

The cooperation between UNICEF and the Government of El Salvador is focusing on two main areas of action: The programme for legislation and public policy and the programme for local protection systems of children, adolescents, women and their families.

El Salvador is currently facing the following major challenges as outlined by UNICEF:

- Disparities
- HIV/Aids
- Social exclusion
- Chronic malnutrition
- Emergencies (natural disasters: flooding and earthquakes)

The framework of the country programme at national and local level covers legal framework, public policies and protection mechanisms. These focal areas are based on the strengthening of the institutional capacity and the participation of citizens. Communication, social mobilisation and M&E accompany these processes.

### **Findings**

#### **Opportunities**

UNICEF's partners see a range of opportunities to further strengthen HRBAP in El Salvador, especially due to UNICEF's political weight and regional organisational structure. Building on current strengths these opportunities include:

- Engaging in supra national issues like migration or child trafficking
- Involving civil society in monitoring processes
- Institutional integration
- Uniting the fragmented civil society
- The application of HRBAP at a national level
- Indicators about the knowledge and application of HRBAP by public institutions could help identifying and filling gaps

#### **Challenges**

Currently, human rights issues can be expressed relatively openly in the El Salvadoran society. UNICEF and its partners are making use of democratic spaces in order to support the national institutions. However, HRBAP is facing the following challenges:

- Understanding of laws based on the CRC and their application by officials
- The concept of childhood in El Salvador does culturally not correspond to UNICEF's concept: After the age of 12 - 14 years, children are considered adults by society
- Families are not aware of rights and duties and keep violating these rights
- Proliferation of NGO sector resulting in mixed knowledge in HRBAP
- Lack of motivation of the population
- Very strong ideological differences of political parties as a result of the civil war



M&E processes of HRBAP are unclear and guidance is needed  
For many counterparts, HRBAP documentation in English is not accessible  
HRBAP at the national and municipal level is slowed down due to:  
Lack of knowledge  
Lack of prioritisation of the approach  
Resistance  
Officials manage the HRBAP jargon very well, but laws are still discussed and implemented in a way that violate the rights of children, adolescents, women and their families

Findings: Documentation, assessment, dissemination and application of experiences

Ideas and experiences regarding HRBAP are shared within the Central America subregion (at least twice a year, the programme coordinators and also country representatives are meeting to discuss current UNICEF affairs)  
For subregional problems subregional solutions are looked for  
Officials with experience in special issues are interchanged. In the case of “The anti-gang laws” (leyes anti-mara) for example, a member of UNICEF El Salvador worked for a period of time for UNICEF Guatemala to assist on legal issues

Conclusions:

The current frequency for sharing sub-regional experiences internally seems to be appropriate to meet the most relevant HRBAP challenges: to find for sub-regional problems sub-regional solutions. The interchange of staff as and when needed stresses the pragmatic approach of handling HRBAP issues within the sub-region  
Based on the perceptions of UNICEF partners (see “opportunities” and “challenges” above), there appears to be the demand from civil society based organisations and NGOs for UNICEF to actively engage in working at different institutional levels by making use of UNICEF’s visibility and influence

Recommendations

The sub-regional approach to HRBAP enables the mutual learning in the sub-region and it is recommended to continue sharing documentation, assessments and the application of HRBAP practices sub-regionally and to share this information with other regions. It might be of use of HQ staff to participate in some of these meetings to institutionalise learning, e.g. for putting together training materials

The UNICEF CO might wish to consider taking up some of the following areas of action at different institutional levels as identified by civil society partners:

Supra national level: Engaging in cross boarder issues like migration or child trafficking

National level: Institutional integration, application of HRBAP across these institutions and development of indicators for capacity building and application of HRBAP

Civil Society level: Uniting fragmented civil society and involving it in HRBAP monitoring processes by providing clear guidance. Facilitating CBOs to raise awareness about HRBAP at the community level

## Findings: Strengthening and reinforcement of regional capacities in HRBAP

There is the necessity of translating the concepts of HRBAP into its practical application  
The CO is “learning by doing” HRBAP. During the practical application staff is learning from successes and challenges

UNICEF is facilitating the process of integration institutional endeavours to apply HRBAP

UNICEF is sharing with partners HRBAP case studies and other related materials

HRBAP support is predominantly coming from RO, but support is not always instant due to lack of staff in TACRO

## Conclusions

The practical application is a challenge that is handled by learning from success and failure in the CO. While the CO is looking at the RO for guidance on HRBAP, staff shortages in TACRO and the absence of a HRBAP advisor lead to sometimes delayed response times

The UNICEF CO is the facilitator in the process of capacity building in HRBAP and shares relevant materials

As presented by UNICEF partners (see “challenges” above), not all HRBAP related documentation is available in Spanish. This impedes the effective strengthening regional capacities in HRBAP as not all government officials at different levels are able to read documents in English

## Recommendations

More materials should be translated by the CO or RO into Spanish in order to facilitate the use for counterparts in El Salvador

A focal point for HRBAP should be established in TACRO to respond to CO requests

## Findings: Human resource development

In every training activity, TACRO is searching for spaces to include a session on HRBAP  
The intranet and official web-based networks serve also as platforms for discussion, exchange and learning but there is the danger of information overflow

The regional office is the driving force of HRBAP in LAC and the CO is constantly in contact with TACRO. The guiding hand of the regional assessor is an important driver in supporting the application of HRBAP (this post is currently vacant)

HQ is supporting HRBAP by a strong focus on the approach in the PPP manual

One member of staff out of 18 participated in a special HRBAP training

Key NGO partners of UNICEF feel supported in capacity building endeavours for partners, but they face similar problems of translating HRBAP into action

## Conclusions

In human resource development, there is the challenge of showing the practical application of HRBAP

CO staff feels supported by HQ and TACRO with regard to conceptual HRBAP guidance and is supporting NGO partners

## Recommendations

Capacity development in HRBAP should focus stronger on the practical application of HRBAP. Lessons from other countries in the sub-region and region should be captured and disseminated by TACRO

Findings: UN Reform: The UNDAF process as a chance of challenge for HRBAP?

A partner of another UN agency gave the following assessment:

There is a good theoretical knowledge about HRBAP in El Salvador. The president knows the language, but the gap between the reality in the country – the third term of right wing government – and HRBAP are too big. Hence the government's work is not based on rights.

There are chances to influence the governing bodies at lower levels and UNICEF has the possibilities to do so

In the UNCT, there is no resistance towards HRBAP, but the technical capacity of how to apply the approach is very limited due to the following factors:

The number of staff of UN agencies is too limited

Very little time is spent on capacity building

Participants of training are not very motivated. About ¾ of trainees do participate without being interested but because they have been told to attend the training

There is no planning at the national level in El Salvador and HRBAP helps as a means of dialogue with the government

UNDP received a lot of documentation of HRBAP and a UNHCR training

Among UN agencies UNDP is the most political agency in the country and has to be very careful when dialoguing with the government

From a political point of view HRBAP language can be of extreme left, as in the case of a consultant recently hired by UNICEF. The government is not receptive for this kind of language

UNICEF needs to be careful not to put its mandate above the mandates of other UN agencies. A too missionary and elitist approach will put off UN partners and limit the effectiveness of HRBAP

A pragmatic approach to HRBAP is needed

## Conclusions

UNICEF has the potential to influence lower level of government while at the higher level challenges might be too big with the right wing government

UNCT is receptive for HRBAP but not enough time is spent on capacity building

There is a great potential of HRBAP to facilitate national level planning in El Salvador

UNICEF needs to use HRBAP pragmatically, to be careful about the use of language and not impose itself on other UN agencies

## Recommendations

UN Reform is a unique chance for UNICEF in EL Salvador. The UNCT is receptive and the resident co-ordinators is aware of HRBAP. In order to scale up efforts in HRBAP capacity building, the resident co-ordinator should be supported by UNICEF to invite senior management of other UN agencies to HRBAP training. UNICEF might wish to consider to second staff on a part time basis to the resident co-ordinator or other UN agencies to strengthen awareness raising in HRBAP

## Guatemala Country Office

The Guatemala CO started in 2005 a harmonised programming cycle as part of the UNDAF process. In the programme cycle 2002 – 2004 the CO fully moved from a needs based approach to a rights based approach after changing directions at the time of the MTR in 1999. The legislation assuring the rights of children and adolescents, as set in the CRC is nearly in place and now the defence and application of legislation is a priority.

In the Guatemala CO, the cut in staff numbers have forced the CO to become even more focused and made the CO more efficient, according to CO staff.

### Human Resources Development

All members of staff participated in PPP training. But while this training is clarifying concepts of HRBAP, it gives not sufficient guidance as how to implement the approach in the daily work. Staff did not have access to special HRBAP training. To the global consultations, no member of the office was invited. There is a notion that the documents accompanying and following the global consultation were not sufficiently disseminated.

While UNICEF staff is open to learn, there is a lack of a regional focal point and a lack of HQ support up to the highest levels. Overall, there is a lot of questioning about HRBAP in many offices and at different levels in the organisation as empowering civil society can be unpleasant for governments and UN agencies.

Documentation, assessment, dissemination and application of experiences: Examples of learning from others

In 2004 the Integral “Law for the Protection of children and adolescents” was put in place, in contrast to trends of establishing laws threatening the rights of children and adolescents like the “Hard hand Law” (Mano dura) in Honduras or the “Super hard hand Law” (Super mano dura) in El Salvador. A staff member from UNICEF El Salvador was posted temporarily in Guatemala to assist the CO, based on the experiences and impact with the “Hard hand Law” and discussions about the “Super hard hand Law” in El Salvador.

Another area of UNICEF support for state institutions is the intercultural and bilingual education in Guatemala. While lessons learned from the Bolivia case study are taken into account as valuable, the situation is more complex due to the number of languages. For bilingual education in 4 principal and 23 other indigenous languages, UNICEF is seeking to learn from the experiences in Mexico and Honduras where the number of languages is equally high. In order to offer support, UNICEF is providing technical assistance about the definition of bilingual education in the first place.

As part off the integrated policies project, the government is supported to implement public policies. The budget monitoring efforts are supported by the Ecuador CO that has

previous experience in budget monitoring. This is even more important as 15% of the national budget in Guatemala is handed over to local governments. Councils at the local government level, which include children and adolescents, oversee the local governments spending.

#### Learning and capacity building models

During the Martiny I and II consultations in emergencies, a systematic approach was taken to assure the implementation of the approach. A regional officer followed up the consultation process in all countries and helped implementing a monitoring system. In the case of HRBAP, the planning officer could have taken on this role, but the position was vacant for some time.

Other forms of capacity building are self-learning tools like the compulsory CD on security in the field. The ROs should have a focal point for HRBAP to undertake the following activities:

Training and training of trainers

Facilitating an open dialogue

Organising conferences

In the case of emergencies or HIV/Aids, there is always a driving person in the RO and HRBAP simply has to compete to be top of the agenda.

#### Strengthening and reinforcement of regional capacities in HRBAP

The main source for HRBAP capacity building has been the UNDAF process, partly due to valuable inputs from OHCHR in Guatemala and the DGO in New York. UNSSC could be a further channel of support as it is offering HRBAP training (e.g. in August/September 2005).

In TACRO's training calendar, there are no specific sessions on HRBAP, but the topic is included in thematic training. While some UNICEF staff feel that the strengths of HRBAP focus depend on regional assessors others stressed the CO's decision-making powers about what and how HRBAP is applied. TACRO programmes were implemented according to the COs.

Currently the new law for adoptions is discussed and UNICEF supports through technical assistance the members of the congress in order to build the laws from a rights based approach.

#### UN Reform

For Guatemala and UNICEF, the UNDAF process is a complex transition into an equal, participative and human rights friendly society. OHCHR is having a similar approach to programming as UNICEF and there is mutual support in the UN reform process.

The following key areas are of special importance for UNICEF:

Rights of children, adolescents and women

Inter-cultural ways of living (Interculturalidad)

Work at the municipal level

Families

The role of women is a crucial area of work due to the general violence, maternal mortality and HIV/Aids.

The future role of a UNDP country representative as the UNCT leader is causing some concern inside UNICEF and among its allies on HRBAP. While HRBAP is not as fully embraced by UNDP as by UNICEF due to other priorities, the UNCT leader's focus on HRBAP will mostly depend on personalities, even though the current UNDP resident coordinator in Guatemala is at the forefront of basing the UNDAF process on HRBAP.

The MDGs are the highest targets for UNICEF in Guatemala due to the low level of the country and there is a great opportunity to link HRBAP closer to the MDGs.

#### Human Resources Development

HRBAP capacity building in the Guatemala CO is nearly exclusively based on the PPP training, but the practical application is lacking from that training.

The long vacancy of the position of the HRBAP focal point in TACRO is impacting negatively on the self-confidence of staff in the Guatemala CO.

#### Documentation, assessment, dissemination and application of experiences

There are plenty of examples of the application of experiences from other COs in the Guatemala CO. For relevant topics like "hard hand" legislation s, bilingual education or budget monitoring sub-regional and regional expertise was drawn upon.

#### Learning and capacity building models

At the RO level, TACRO has a very significant role to play in following up HRBAP capacity building and the monitoring of its application. The Guatemala CO is looking for contact point and a driving force in TACRO.

#### Strengthening and reinforcement of regional capacities in HRBAP

The Guatemala CO is in the particular situation that HRBAP capacities were build due to the UNDAF process, not despite it, as it is the case in other COs. While in other COs UNICEF was the single driving force to ensure that the UNDAF process is HRBAP based, there is a clear synergies of OHCHR's alliance with the UNICEF CO.

#### UN Reform

In order to pursuit the MDG targets and UNICEF priorities for Guatemala, UNICEF is bound to collaborate with other UN agencies under the umbrella of UN Reform. OHCHR proved to be a close ally in that process and the UNDP Resident Coordinator in Guatemala is at the forefront of basing the UNDAF process on HRBAP.

Some staff perceives MDG targets as an opportunity for a wider HRBAP application.

## Human Resources Development

TACRO should develop together with the expertise off COs a training course about the practical application of different issues of HRBAP in different environments. The involvement of COs will create ownership and lead to useful internal CO and cross-country discussions in preparing the training course.

The post of the HRBAP focal point needs urgently to be filled with an enthusiastic member of staff with a long-term knowledge of HRBAP. One of the main aims for this person would be to assure that staff at CO level understands the value of empowering civil society for governments and UN partners and that staff transfers this knowledge into convincing arguments when dialoguing with these counterparts.

## Documentation, assessment, dissemination and application of experiences

It is recommended that the Guatemala CO documents and disseminates how it applies other COs experiences with these HRBAP relevant issues in its own national context. TACRO and the HQ should congratulate the Guatemala CO for its active regional and sub-regional collaboration.

## Learning and capacity building models

If HRBAP is to stay top on the agenda in LAC, TACRO needs urgently to fill the post of a planning officer for HRBAP as a focal point to regional support and facilitation. A regional support model could be based on the energy and enthusiasm of this person, its facilitation skills of dialogue, to organise sub-regional and regional meetings and training.

## Strengthening and reinforcement of regional capacities in HRBAP

Even tough the Guatemala situation might be unique, it shows the value of starting the UNDAF process with an ally in HRBAP. There is huge potential to replicate the Guatemala experience in other countries of the sub-region and colleagues should be made aware of the OHCHR, DGO and UNSSC capacity building activities. This is a way to strengthen regional capacities without UNICEF being the only driving force.

## UN Reform

From an organisational point of view OHCHR can be a valuable ally for UNICEF in basing UN Reform on HRBAP. While UNICEF has programming experience with HRBAP, OHCHR can support UNICEF in pursuing the common aim of anchoring the UNDAF process in HRBAP. While the relationship at the HQ levels between the two organisations might be very formal, OHCHR found UNICEF to be a reliable ally in Guatemala to push HRBAP in the UNDAF process. UNICEF might wish to build on this successful collaboration and start engaging other UN agencies more strongly as the strong HRBAP support of the current Resident Co-ordinator might change as soon as the person moves on to another position.



Including HRBAP in the job profile of the future UNCT leader might be a way to ensure at least the Resident Co-ordinators knowledge and awareness about the approach.

## Panama CO

The Panama CO was founded in 1992 and is currently in its third cycle of cooperation. In the cycles 1992 - 1996 and 1997 - 2001, a rights based approach was applied, but not yet methodologically. Since 2002 HRBAP is the focus of programming. It is foreseen that in the 2007 - 2011 cycle counterparts will be fully equipped to base their work on HRBAP.

UNICEF CO's main focus of HRBAP is to influence the change of legislation in the light of a rights based approach. When the elections in 1997 presented the chance to modify the antiquated 1994 "Code of family" (Panama's response to the CRC, based on a law first discussed in 1982), UNICEF enabled capacity building of a coalition of lawyers, state representatives, psychologists, university professors, representatives of the media, adolescents and others. In 1998, the so-called "Law 40" was finally implemented and ensures the universality of the rights of children and adolescents. Currently, the shape of the "Integral penal law" is discussed in Panama.

Since these early days of struggle, UNICEF is supporting an ever-growing alliance of professionals and parts of the civil society. The latest struggled was to fight the late governments plans for a "Mano dura" (Hard hand) policy.

### Challenges

The fight for and defence of the universality of children's and adolescent's rights is not over in Panama. The following challenges need to be taken on:

There is still a gap between the ratification of the CRC and the government's compromise with the contents of the convention

Many state officials still perceive human rights as an unreachable vision and don't know how to apply HRBAP

The capacity of monitoring is very limited in the government institutions

HRBAP is best understood at a central level, i.e. in Panama City in the most relevant institutional levels. In the periphery of the country and lower ranks of the administration, this is not the case

### Human resources development

UNICEF supported the movement to put children's and adolescent's universal rights on the political agenda through multi-fold activities. Some examples are:

Technical capacity building of psychologists

Participation in capacity building at universities and schools

Data collection and desegregation of data

Information sharing of experiences of other countries

Information and capacity building campaign for media representatives

Capacity building for parliamentarians and officials

While the Spanish Agency for Cooperation, the Inter American Development Bank and the World Bank are other important donors in Panama, UNICEF is unique due to its strong and continuous focus on legislative and institutional issues, as outlined by the Minister of Social Development.

## Conclusions

The Panama CO work in HRBAP is particularly multifaceted: It ranges from working with the media to parliamentarians and university lecturers

Capacities in applying and monitoring HRBAP is insufficient among government counterparts

Capacity gaps are visible at the lower policy levels and in the periphery of Panama

## Recommendations

Based on the successful work with many partners, the Panama CO should focus its HRBAP capacity building on the practical application and monitoring of HRBAP. Counterparts at lower government levels and government officials in the peripheral regions of Panama should be the primer focal point for these activities

## TACRO

### Ideas for ways for organisational learning and capacity building

- Compulsory CD can help mainstreaming HRBAP (like security in the field CD, will be done for gender in LAC)
- Learning models are still needed but this need is partially covered by well functioning regional networks and regional information exchange, e.g. in the area of immunisation
- Learning from outside the region is perceived as adding value although the context of other regions is not always applicable to LAC
- Stronger support from planning units
- Horizontal peer review
- Visit good examples "Study tours"
- Positioning HRBAP more prominently in HR policies and procedures; Once key decision makers are convinced,
  - This will effect their control of budget and planning processes
  - They will encourage staff actively to work based on HRBAP
- More investment in horizontal capacity building desirable, less hierarchical one
- Self study
- Hotline service (done informally in region for certain themes)
- Workshops (e.g. Rights in Education, TACRO, October 2005)
- Processes about how to apply HRBAP is specific situations like early childhood, violence or gender
- Operationalisation of HRBAP in training depends on country representatives
- Examples of practical programming situations with and without HRBAP in order to show difference more clearly
- Discussions in focal points
- Horizontal support via Intranet platform
- Horizontal and vertical missions
- Help desk or help line in RO on specific issues like PRS, education, etc.
- Written and systematised documents

## Human Resources development

### Findings

#### a) Support

There is a need for support between the theoretic description and clear procedures for implementing specific activities based on HRBAP

Opportunities of mainstreaming, the "how" not the "what" were unanimously raised among staff of all levels and specialisation

The theory is clear; now the question is how to apply HRBAP in country process planning and new ways of programming

HRBAP needs translating from concepts to practice; Country representative and SPOs as key points for capacity building

Disconnect between CO's and HQ thinking

HRBAP application is still often unclear and practical examples are necessary in CO capacity building

HRBAP needs to be ongoing, is not mainstreamed in PPP training and practical examples missing

Translation of HRBAP to work situations needed

b) HRBAP focus in training

There is a clash or disconnect between the training from project and the realities of HRBAP in LAC as not all approaches towards HRBAP are being taken into account in training

Standard training: Not always HRBAP focused

Challenges in HRBAP capacity building

Staff turn over

More training opportunities for senior programme officers, advisors and country representatives needed

Once Country representatives and SPOs are better trained in HRBAP, they will make sure that HRBAP is included in standard training

HRBAP capacity building is not a one-shot issue, especially due to frequent staff turnover (some staff had no training in 4-5 years due to frequent travel)

c) Existing procedures and tools

Using existing points in planning and working process for further HRBAP capacity building:

Every 6 months there is a capacity building exercise undertaken in the RO for planning officers

Regular meetings of the focal points

Mid Term review and country programme reviews

PPP manual: next steps would be to focus on themes like PRS, UNDAF, CCA, gender and disabled children

In theory, the annual review process is a good opportunity to assess and learn regarding the application of HRBAP. But the process is done before Christmas in a quick fashion and COs often present success stories only

Documentation, assessment, dissemination and application of experiences

Organisational learning

Global consultation process as missed opportunities:

Small number of selected staff invited only

Competitiveness, especially between TACRO and ESARO

Anglo-Scandinavian dominance and representation of many African, Arabic and Asian countries

Exclusive use of English limit participation of non-native English speakers

Case studies: Focusing on "best practice examples" only:

Unhealthy competitiveness

Slight lack of credibility as "problems" are cut out (partly as a defensive response to donors)

No learning from problems

Staff with problems can feel overwhelmed and disempowered

Some examples were good in process but very limited in impact  
Lesson learning and sharing is mostly an informal process  
Lesson learning most useful within region, less from other regions  
Demand driven capacity building: UNCT training with HRBAP focus was specifically asked for by CO's in Mexico and Panama

#### M&E

M&E are a weakness in HRBAP: Monitoring is not close enough and evaluations don't take HRBAP enough into account

HRBAP is leading on ideas, but less strong on monitoring, evaluation and reflection

Indicators for M&E are needed in order to assess systematically results

Weak HRBAP M&E in LAC (5 M&E staff in whole region)

#### Themes:

##### **Contribution of TACRO for the project and the project's contribution from TACRO as it was ahead of its time**

- Ex Dir served as a support mechanism for existing HRBAP framework
- HQ reinforced the experiences in the region but there is still a lot to learn about e.g. in early childhood
- Despite the advanced state of HRBAP in TACRO, there is a feeling of lack of recognition in the region due to:
  - Advanced and highly competitive professional qualification of staff in LAC that is irritation some staff in HQ
  - Arrogant self-presentation of LAC in UNICEF
- HQ did not seek guidance from TACRO as it is no priority region
- In UNICEF Europe, TACRO was perceived as the leader in HRBAP but it "died of its own success"
- HRBAP is sometimes still discussed during meetings in HQ and not taken as a policy

##### *Critical reflection*

- HRBAP lost "immediate violation of rights out of sight"
- TACRO model region specific and ever evolving, not to be rolled out across the rest of the world
- TACRO model not perfect; gap in the implementation of HRBAP as Human rights violations are difficult to focus on
- HRBAP should not be perceived as a religion and staff should be open for critical reflections
- National counterparts are organised in a sectoral way and UNICEF needs to realise that with HRBAP approach
- Influencing of the big players like bilateral donors is weak

#### Strengthening and reinforcement of regional capacities in HRBAP

##### Role of regions

Regions should get the role to develop approaches towards HRBAP

Global policy guidance at HQ is limiting regions participation in showing different options of applying HRBAP – there is no single model; System has not shifted to regional accountability yet

TACRO as “centre of knowledge” building capacity of counterparts

Regional input in guidance important to widen HQ’s perspective

There is the general question whether a region can drive a process or whether this is still HQ’s role

Role of HQ

HQ support: sometimes feeling that a dialogue partner was missing or not strong enough in NY due to lack of field experience and regional understanding of HQ staff (but this helped own thinking)

HQ should focus on methodological approach

Regional advisors in HQ focus less on HRBAP and more on themes

In some technical clusters in HQ, there is a lack of HRBAP awareness and HRBAP is discussed in a way as if it was not UNICEF’s official approach for programming

As TACRO is advanced in HRBAP, HQ does not pay attention to the region any more

Language

Many people use HRBAP jargon, but minds can’t be changed in 1 training (in Central African Republic, national counterparts use language brilliantly, but don’t understand the concept and hence don’t apply it)

Different people at different levels and in different places understand HRBAP differently, partly due to different languages and mind sets

Weak role of Spanish in the HQ and lack of accessibility of information for non-Spanish speaking HQ staff

The lack of accessibility of TACRO HRBAP material is the RO’s own fault as they don’t translate enough

Systematic application of HRBAP

There is a wealth of experience, but it is not fully synthesised as RO is still learning new approaches

Systematic application of HRBAP: lack of oversight, especially at the MTR (horizontal peer review as an option)

Further HQ support needed for more systematic application

In the case of public policies, HRBAP is on its way of getting operationalized

Strengths of HRBAP in CO depend on:

Capacity building of staff

Who the country representative is

Role of National Committees

Focus on fundraising

HRBAP for National Committees is not seen as a priority in HQ and Geneva

What does this mean for mainstreaming and operationalizing HRBAP in UNICEF?

[Decisions about budget allocation in HQ are done based on needs, not based on rights.

What does this mean for operationalizing HRBAP?]

UN Reform

CPAP and AWP: drain on resources as working together with UN partners takes a lot of time and adds another reporting layer. There is double reporting for an initial stage of the process as agency specific reporting continues prior to the simplification of the process and the reduction of transaction costs

CCP: Procedures for documentation, M&E and learning now being developed after Cape Verde CCP learning

CCP go currently separately to the 4 different boards of the agencies

The capacity of UNICEF influencing other UN agencies is somehow limited. While UNICEF builds HRBAP on the basis of the CRC, UNDP has to consider all international conventions and there is a difficulty to prioritise

CCA and UNDAF: dialogue needs to be strengthened

### Opportunities

Getting UNDAF annual reviews at country level and first evaluation of UNDAF in 2007 informed about HRBAP

HRBAP mainstreaming through common regional office for UN in Panama

UNDAF/joint programming are a chance for HRBAP mainstreaming, but bilaterals need to get on board, too

Annual Work plans of CCA process are an opportunity for joint programming

There is a unification of language regarding HRBAP in the UNDAF and joint programming

UNDAF and joint programming: HIV/AIDS as a spearhead due to

Consolidation of interagency work through UNAIDS (forced by the lack of financial resources)

Rights are at the centre of the Aids framework

Country teams have experience of learning of how to work together

Special situation of HIV/AIDS: Opportunities to learn during UN learning activities

### Indicators

MDG and EFA indicators are not so far away from Global monitoring of rights for children indicators

#### *Linking HRBAP stronger to UNICEF's Human resources policy*

In TACRO, 4 key staff identified human resources policy as a potential for leverage to improve HRBAP operationalisation:

- HR policy and processes do allow focus on HRBAP, but it is not compulsory and depends on the interview panel (is done in TACRO)
- Competency profile for country representatives is very rich and includes HRBAP
- Country representative selection:
  - Based on recommendation from RD
  - Recommendations can be more or less detailed, leaving space to include or leave out HRBAP issues
  - HRBAP very important for recommendations of Paraguay CR
- For international posts joining UNICEF externally there is an option to assess HRBAP capacity after staff is in post. It is implicitly understood that this will happen within 12 months (assessment happened in all 4 cases of recruitment since interview partner joint RO)
  - For country representatives, the RD or the deputy and a panel undertake the assessment
  - For SPOs at country level, the country representatives undertake the assessment
- UNICEF competences profile for country representatives
  - Lists positive and negative indicators and development strategies
  - HRBAP could be an additional competence (RO tried to include gender, but that was rejected by HQ)
- Interview protocols
  - Currently not compulsory and no standardise form exists
  - Should be compulsory to prove that HRBAP competences have been assessed
  - HRBAP should be included in a standard interview protocol form



## Conclusions

### Organisational learning and capacity building

There is a wealth of examples but also innovative ideas about how to increase organisational learning in TACRO. Most examples and ideas can be recommended for a closer assessment and implementation at the regional level inside but also outside LAC.

### Human Resources development

#### a) The missing middle

There is a clear need of translating the HRBAP concept into procedures of practical application with Country representatives and SPOs as starting points for capacity building.

#### b) HRBAP focus in training

There is space in standard training to include HRBAP more specifically and LAC approaches towards HRBAP. Due to staff turn over and the lack of capacity building for senior staff, HRBAP is not as prominent in trainings as required.

#### c) Existing procedures and tools

There are a variety of existing procedures and tools that can be used to further strengthen capacity building in HRBAP. The biannual training for planning officers in TACRO, regular meetings of focal points and regular review are existing opportunities. The PPP manual is perceived as a solid base to build further on for HRBAP specific issues like PRS and UN Reform.

### Documentation, assessment, dissemination and application of experiences

### Organisational learning and M&E

For TACRO staff, the Global Consultation process was a missed opportunity, especially due to an unhealthy competitiveness and a focus on successes, not challenges. Organisational learning is most useful within the region and there is demand for learning.

M&E are identified as an area of weakness for the assessment of experiences, partly due to the lack of professional M&E staff.

## Strengthening and reinforcement of regional capacities in HRBAP

It is difficult to relate the use of HRBAP influenced language to the HRBAP capacities in general. Many people know the jargon but there are different levels of understanding what HRBAP means. But there are also problems in fully using the regional knowledge as a lot of information is available in Spanish only and information from HQ and other regions in English only.

There is a clear perception among TACRO staff that LAC should play a much more prominent role in developing HRBAP approaches or models as this could help HQ to widen its perspective. TACRO sees itself as a “centre of knowledge” with a huge potential for capacity building for counterparts. From an organisational point of view, there is the unanswered general question whether regions have a role in driving a process like HRBAP especially as there is the perception that the region is more advanced in its thinking as HQ.

TACRO staff also feels that regional advisors and some staff in technical clusters in HQ are lacking of HRBAP knowledge that reflects negatively on the region. TACRO might be the victim of its own success as HQ is paying less and less attention to the region.

## Systematic application of HRBAP

The application of HRBAP is continuously providing the RO with new experiences. At times this can be overwhelming, especially as the application of HRBAP is work in progress. In this dynamic process, there is a feeling of lack of oversight from HQ for systematically applying HRBAP. Generally speaking, the systematic application of HRBAP at CO level depends on staff capacity and the support from the country representative. Currently there still seem to be gaps.

From an organisational point of view, there seems to be a gap between HRBAP application in the region and budget allocation at HQ level that is perceived as being needs based and also the exclusion of National Committees from applying HRBAP.

## UN Reform

At the current stage, UN Reform is a very resource intensive process as it is not fully harmonised yet. This leads to double reporting.

There is the perception UNICEF's capacity of influencing other UN agencies is limited. While UNICEF builds HRBAP on the basis of the CRC, UNDP for example has to consider all international conventions resulting in difficulties of prioritisation.

Nevertheless there is a wealth of opportunities for embedding HRBAP in the UN Reform process: A common regional UN office in Panama and the same physical location of UN partners, UNDAF annual reviews and the first UNDAF evaluation and Annual workplans among others. There are already signals of HRBAP's influence on the UNDAF process: The unification of language and very positive examples from HIV/AIDS.

The UNDAF process can comfortably build on the good experiences from HIV/AIDS, the

spearhead of the UNDAF process and joint programming. Through UNAIDS, interagency work was consolidated and rights are at the centre of the current AIDS framework. Despite differences in organisational cultures and approaches UNCTs have gained experiences of working together by focusing on a single issue and due to additional capacity building during UN learning activities.

### Organisational learning and capacity building

Based on existing models and innovative ideas in TACRO, specific activities in the following areas are recommended: Documentation, regional networks, human resources policies and procedures and focused capacity building.

#### Documentation

Compulsory CD can help mainstreaming HRBAP (like security in the field CD, will be done for gender in LAC)

Examples of practical programming situations with and without HRBAP in order to show difference more clearly

Written and systematised documents

#### Regional networks

Build on good experience of regional networks and regional information exchange like in the area of immunisation

Discussions in focal points

Stronger support from planning units

Hotline service (done informally in region for certain themes)

Help desk or help line in RO on specific issues like PRS, education, etc.

Horizontal support via Intranet platform

#### Human resources policies and procedures

Positioning HRBAP more prominently in HR policies and procedures as the operationalization of HRBAP in training depends on country representatives

Once key decision makers are convinced,

This will effect their control of budget and planning processes

They will encourage staff actively to work based on HRBAP

Horizontal peer review

Visit good examples "Study tours"

#### Focused capacity building

More investment in horizontal capacity building desirable, less hierarchical one

Self study

Workshops (e.g. Rights in Education, TACRO, October 2005)

Processes about how to apply HRBAP in specific situations like early childhood, violence or gender

Horizontal and vertical missions

## Human Resources development

Due to their central functions in COs Country representative and SPOs should be trained in concepts of the practical application of HRBAP together with previously selected or existing HRBAP facilitators. Then these key CO staff should be involved in capacity building of other staff.

### b) HRBAP focus in training

Standard training should be reassessed on its relevance for HRBAP. LAC approaches of HRBAP should be included in standard PPP training in the region. In order to overcome challenges in HRBAP capacity building, SPOs, advisory and Country Representatives should get more exposure to training to lead CO staff in HRBAP.

### c) Existing procedures and tools

Before implementing new procedures, existing ones should be fully used. Regular meetings should include a session on HRBAP. The annual review process should be timed in a way that it is fully reflecting country experiences and TACRO should assist and assure that through a closer oversight.

The updating of the PPP manual should be continued to provide guidance on the latest challenges like PRS, UNDAF and CCA and continuous challenges like gender and disabled children.

## Organisational learning and M&E

It is recommended to change the approach to the documentation, assessment and dissemination of experiences in HRBAP in order to enable their true application. The preparation of case studies should be based on an in-depth analysis exploring success and challenges. In the future, regional or sub-regional consultations might be preferable over global consultations to allow a larger number of staff and partners to participate. The use of the relevant regional languages or with simultaneous translations is strongly recommended.

HQ should promote existing M&E approaches for HRBAP developed in HQ and the regions. The M&E position in TACRO should be swiftly filled with a dedicated professional with M&E and HRBAP knowledge to support COs.

## Strengthening and reinforcement of regional capacities in HRBAP

To fully strengthen regional capacities, more HRBAP related information should be available in Spanish and information from other regions in English should be translated into Spanish.

HQ should clarify with the regions that progress and success in HRBAP is a joint organisational process that is based on mutual collaboration. Nevertheless the roles of regions and HQ need clarification to ensure that they add the highest value possible. UNICEF should be open to understand that there is no single model to applying HRBAP, but that there are variations in every region, country and even within countries.

HQ should actively engage with TACRO to make full use of its wealth of knowledge and experience. HQ should use that opportunity to give a clear signal of its commitment to HRBAP and the region.

#### Systematic application of HRBAP

As the leadership of country representatives and the capacities of their staff do not ensure the systematic application of HRBAP, a renewed effort in awareness raising and capacity building mainly for country representatives is strongly recommended.

To fill the gap of oversight horizontal peer reviews should be considered as an option especially during the MTR process. HQ should engage more actively with the RO to look at ways of systematising the application of HRBAP.

#### UN Reform

TACRO should continue using the UN Reform process to embed HRBAP in CCAs, Annual workplans and evaluations. Despite the enormous challenges, other UN agencies should be open in principle for HRBAP as they have signed the Stanford and Princeton agreements. Targeted capacity building and additional learning activities are conventional but effective ways of building capacities. UNICEF should build on the success in the area of HIV/AIDS and encourage further UN learning activities and own HRBAP capacity building focused on specific intervention areas rather than general HRBAP training exercises.

## Tanzania country office

### Limitations:

Early childhood development not touched upon in the field, but “youth” context. What about parents and care takes of children under 5?

### Human resources development

#### Community level

UNICEF capacity building activities at community level like the vulnerable children committee’s are mostly supported and sustained by local government and community

Villagers identify most vulnerable children themselves

Child friendly schools lead to an increase in performance

Youth centres with facilitators at ward level start working at ward level, too and extend activities, but lack access to national networks

Training is self-contained and taken on at the community level for further outreach. Some activities are still ongoing after 6 years of initiation

#### Government level

Awareness raising of district directors is a challenge and should be the next step to further up scale HRBAP

The Out of school youth programme is currently rolled out in 19 out of 119 districts. The Director of Youth is currently in the process of up scaling this UNICEF supported initiative to all 119 districts

There are some tensions at local government level as empowered communities can be perceived as threatening but this tension can be tackled by awareness raising. This is one out of many examples where UNICEF started an initiative at community level that is now being up scaled by the government

Government officials feel that UNICEF is supporting “their” programmes. Proud and ownership by government officials is evident. UNICEF supported education initiatives are getting taken up in government education development programme

HRBAP capacity building should be maintained

#### Media and communication

The media was trained 5 years ago in HRBAP and the media coverage changed to some extent but due to staff turn over, a refresher training would be needed by now

Newly established communication officers in government departments are in need of capacity building to relate and respond to media. UNICEF is engaging with relevant ministries to ensure this

The adoption of HRBAP to different groups like the media is needed

#### UN partners

UNICEF’s comparative advantage is to train other UN agencies in HRBAP.

There is a feeling that HRBAP should be addressed to senior management of other UN agencies. But UN agencies have signed the Stamford and Princeton agreements on Human Rights that were very much UNICEF HRBAP based. Issues of capacity building in the application might be the next challenge

## UNICEF

There is less HRBAP training as it is now incorporated into the PPP manual

But due to the high turnover of staff, there is always the need to train new staff members  
New (international) staff needs HRBAP training as HRBAP is not rooted deep enough in the organisation to make this training obsolete. For them it is often very difficult to conceptualize HRBAP

In the PPP the fundamentals of HRBAP and legal issues are not sufficiently addressed. HRBAP is only touched on. Hence separate HRBAP training is still needed

There is a gap of showing the link between RBM and HRBAP

Training should be undertaken in smaller units, at country and sub-regional level due to the common determinators to conceptualise

After training, internal dialogue should be a follow up step to ensure that staff feeds back practical opportunities and challenges and shares these experiences. Space in existing meetings should be made use of, e.g. by prioritising these issues in the monthly-extended programme meetings

Global consultations should be limited to very specific HRBAP issues like child budgeting  
HRBAP training is less explicit now and knowledge is deepened e.g. in the areas of quality of participation, universality or inclusiveness

Operationalization guidelines of "how to" apply HRBAP in upstream work at policy level is needed from HQ

Training on programming should not be "programming and HRBAP" but HRBAP should be presented as "the" UNICEF programming approach

Long-term success depends on gaining acceptance in government and partner institutions

Documentations, assessment, dissemination and application off experiences

Effectiveness of programming guidance

HRBAP guidance is still too theoretical. For UNICEF partners it is a challenge e.g. to understand how duty bearers can be motivated

There are considerable differences in the perception of staff depending on its seniority to what extend CO experience is influencing policy making

Policies and frameworks strengthened/supported by application of HRBAP

For the purpose of policy analysis and review, HRBAP based guidance is needed

It must be ensured that lessons from the community and the voices of the poor are taken to the level of policy review. This is done so far at the trial and error basis

A senior policy advisor in the CO working 100% of his time on policy analysis helped the CO to work at community level and central government level

Being held accountable form HRBAP application by important donors like DFID or SIDA helps to reflect and further strengthen HRBAP

Dissemination of country experience and its role in informing better programming practices

The Tanzania CO experiences with programming shaped the current UNICEF MTR process

The transference of the former SPC to Papua New Guinea resulted in the application of HRBAP elements from the Tanzania CO

In the Zanzibar office lessons from linking HRBAP to religious values are not well documented or disseminated but mentioned to a certain degree in the Annual Review. There would be value added to share this information with the COs in Comoros, Nigeria and mainland Tanzania

Value added of Global Consultation for organisational learning

New staff is not mostly not aware about the Global consultations and related HRBAP materials

Global consultations have triggered work at regional and country level and supported greatly the application of HRBAP

Models of organisational learning

The “power walk” is a role-play to visualise the struggle of the most vulnerable children. It is a good tool that impresses partners and sustains their understanding about vulnerability

Lessons learned should not be “dumped” on the intranet but exchanged with colleagues in relevant offices. It is important though that this exchange takes place in the form of a dialogue, by teleconference, videoconference or personal meetings

In the Annual Report, a change in the format could allow a section on HRBAP lessons learned

In COs 1 day training courses could help deepening the HRBAP knowledge. There is very limited time available for staff to do that as nearly 99% of staff time is blocked by existing reporting requirements to the RO and HQ

Development of indicators for the global monitoring of the rights of children

N/A

Strengthening and reinforcement of regional capacities in HRBAP

Systematic application of lessons or recommendations to key phases of the programme cycle and review at RO/CO level

There is a documentation gap in how to apply HRBAP in a results oriented way. Where is the balance between process and outcomes? This documentation gap leads to an application gap.

UN reform

There is still the challenge that lines of accountability lies within the separate agencies  
UNFPA: new head, advocator, UNDP: pretty good, WFP have a long way to come, WHO sit in Ministries of Health, ILO some support

For the national alignment process, HRBAP has to come a long way to get fully into government at senior level



For national governments, the shift to domestic accountability, e.g. between the state and the parliament or Civil Society instead of donors is a major driver for national alignment  
The government is in the driving seat of the PRS (“Mkukuta”)  
Alignment process is in itself part of HRBAP  
Now government needs to be supported in establishing comprehensive national poverty monitoring systems

From other UN agency’s point of view, elements of HRBAP like participation have been done “forever”. Therefore the concept of HRBAP is appealing  
UNICEF is so far ahead of other agencies that it should take the lead in all UNCTs

UNICEF must not be too pushy with HRBAP as this is perceived as arrogant. Instead similarities in approached with other agencies need to be identified and highlighted.  
HRBAP should be adapted to the terminology of other agencies

A template for applying HRBAP in UN reform is currently not possible as changes are happening so quickly

## Conclusions

### Human resources development

Internally there is a high level of HRBAP knowledge but there are also a number of gaps. HRBAP training is rooted in the CO, but not rooted deep enough in order to make HRBAP training of new staff obsolete. There is a feeling that HRBAP is not well enough embedded in the PPP training and that the link between RBM and HRBAP is well understood. A clear need of dialogue around HRBAP is needed in the CO

The capacities in HRBAP are well rooted, sustained and up-scaled in the parts of the communities and government UNICEF is collaborating with. Capacity building in the media is challenged by the high turnover of staff. In the case of UN reform, UNICEF has a comparative advantage in HRBAP training.

### Documentations, assessment, dissemination and application off experiences

As in many other CO’s HRBAP training is perceived as being to theory driven and lacking the practical application.

### Policies and frameworks strengthened/supported by application of HRBAP

Policy frameworks have been supported by the application of HRBAP in the Tanzania CO. New challenges are appearing as the community level and policy level are getting linked up.

Dissemination of country experience and its role in informing better programming practices

There is remarkable cross-fertilisation between the Tanzania CO and other CO's and the HQ. Most of this cross-fertilisation process is either kick started by staff turnover or a result of country visits e.g. by direct personal interaction

#### Value added of Global Consultation for organisational learning

At regional level, the Global Consultations enhanced the development and application of HRBAP. Staff turnover leads to a loss in institutional memory including the results of the global consultations

#### Models of organisational learning

In the Tanzania CO and the Zanzibar office, there are plenty of ideas about how to further improve learning internally as well as at the interface with partners. The ideas presented by staff and listed under "findings" are useful and can be recommended to the Tanzania CO and other COs.

#### Strengthening and reinforcement of regional capacities in HRBAP

The documentation gap about how to reconcile HRBAP with RBM needs addressing as it hampers the application of HRBAP in an RBM driven environment. This conclusion is common among many CO's but the advantage of the Tanzania CO is that documenting existing practical applications can help the office internally and other offices to assess, modify if necessary and institutionalise these approaches.

#### UN reform

In the UN reform process in Tanzania, UNICEF is not alone in advocating HRBAP. UNFPA and UNDP are allies of UNICEF. WFP, WHO and ILO have different programming approaches and UNICEF is sometimes perceived as being too "pushy". The government of Tanzania is leading the PRS process and is in need of focused support.

#### Recommendations

##### Human resources development

As in the case of the media, capacity building should be followed up also in communities and the government at certain intervals.

Building on the comparative advantage of UNICEF in HRBAP, training should be tailored to other agencies and their programming given that these agencies have signed the Stamford and Princeton agreements.

Internally training should be undertaken in smaller units than in the past. Training at country and sub-regional level might be more valuable than regional or global events due to the common determinators to conceptualise.

Internal dialogue around HRBAP should follow training to give staff the opportunity to share lessons during the application of HRBAP. Space in existing meetings should be made use of, e.g. by prioritising these issues and dropping other issues.

Documentations, assessment, dissemination and application off experiences

The CO should make use of the wealth of HRBAP experiences and extract lessons about the practical application for training purposes – for partners in Tanzania and beyond.

Policies and frameworks strengthened/supported by application of HRBAP

The CO is encouraged to fill the position of the senior policy advisor as soon as possible. This position should encompass policy analysis only in order to provide sufficient space for the person to focus on the increasingly important “upstream work”.

Dissemination of country experience and its role in informing better programming practices

Better programming practices are most effectively informed by personal interaction of staff. As there is a shortage of travel budgets, bilateral donors like DFID or SIDA supporting the application of HRBAP should provide focused budgets for these activities.

Value added of Global Consultation for organisational learning

The Global consultations were useful in its time, but it seems that generic HRBAP materials are available now.

Models of organisational learning

It is recommended to use the “power walk” to increase partner’s understanding of HRBAP. Internally a 1 day training course in CO could help to reach all members of staff and increase their understanding of HRBAP related issues rather than putting more and more information on the intranet. This training and dialogue needs to be prioritised and other tasks need to be dropped in exchange.

The reporting seems also to give space to further capture organisational learning and it is recommended to assess how an additional section about HRBAP lessons learned in the annual report could be used by the RO and HQ for learning purposes.

Strengthening and reinforcement of regional capacities in HRBAP

The recommendations about strengthening and reinforcement of regional capacities in HRBAP with respect to RBM are two fold:

While the CO should start documenting the application of HRBAP in a results oriented way, HQ should engage in a dialogue with COs and ROs to identify or prepare similar documents in order to share a wealth of lessons. This is necessary as many staff across different CO’s feel that there are tensions between HRBAP and RBM.

## UN reform

In order to sustain and deepen the achievements with UNFPA and UNDP and to reach out to other agencies, UNICEF should outline common areas of programming in a humble way. By creating this kind of enabling environment, UNICEF can facilitate the process of HRBAP awareness raising in other agencies and among the government counterparts and ultimately influence the National Alignment process from a HRBAP point of view.

## Kenya country office

In 1998 a regional HRBAP task force was established when Urban Jonsson became Regional Director of ESARO. Plans to roll out HRBAP training were presented to the task force, then reviewed and endorsed. The core of these training materials was developed in South Asia during the time when Urban Jonsson was placed in that region. After 8 years of an evolutionary process, core-training materials were printed only 18 months ago. During 2-3 HRBAP training workshops per year, staff is trained and in a second stage these trainees are trained to be HRBAP trainers. In the Kenya CO, approximately 50% of professional staff participated in both stages of the training.

After signing the CRC, the Kenyan government ratified the so-called "Child Act" legislation in 1990. It was put into action in early 2001, but it covers only ¼ to 1/3 of the CRC. UNICEF is accompanying the implementation of the "Child Act" legislation in three districts in order to learn lessons at different levels to push for the amendment of the legislation: At the community level, district level, national level and the level of CBOs. These lessons will be formally reviewed in an external evaluation later in 2005.

HRBAP training is planned in 16 districts and is embedded in the close collaboration between UNICEF, the Kenyan Human Rights Commission and UNDP. UNICEF is providing trainers and facilitators for this collaboration.

## Findings

### Human resource development

Staff capacity is enhanced by

Regional trainings

Urban Jonsson's book

Other publications

Documentations, assessment, dissemination and application of experiences

Effectiveness of programming guidance

Based on regional task force guidance

HQ guidance is not that useful as operationalization of HRBAP is missing, e.g. not useful when doing the annual work plan

Lack of clarity of HQ guidance result in tensions with CO

Regional task force guidance is based on the PPP manual, but there are tensions with HQ as CO uses regional task force guidance

Different models for the operationalization of HRBAP are needed

Support is needed to document and scale up experiences with HRBAP

Policies and frameworks strengthened/supported by application of HRBAP

Children Act legislation, poverty reduction paper and other governments documents (water, sanitation, food & nutrition policy, but to less extend health policy)

Policy for free primary education: launched by Minister of Education, supported by UNICEF and based on HRBAP

Rights based budgeting is the next step (will assess lessons learned in Ecuador and Brazil)  
Challenges at the central level with staff aged over 50 as they are irritated by the term "human rights" and interpret that as potential rioting; district level is more advanced than central level.

Opportunity for high level support: Kenya Commission for Human Rights based on an Act of Parliament; leader of the commission has the position of a High Court judge and commission is comfortably funded by GJLOS donor SWAP

Dissemination of country experience and its role in informing better programming practices

There is a feeling that the experiences of application of PPP manual modified by regional task force for the operationalization of HRBAP can't be shared as HQ is blocking that

Many ways of operationalizing HRBAP are needed but this is blocked by HQ

For better understanding of operationalization of HRBAP: Give example with and without HRBAP application

HRBAP in different versions for different audiences needed: 1 line, 1 hour, 1 day training

Value added of Global Consultation for organisational learning

The value added of the Global Consultation is limited. There is a perception that the case studies presented contain elements of truth but are oversimplified and the process reflected internal power struggles between HQ advisors and Regional Directors

Models of organisational learning

Through evaluation of UNICEF's work in 3 districts in Kenya later in 2005

Through staff being transferred to another post or country

Case studies from neighbouring countries are useful, but the context of society e.g. in Tanzania is so different from the one in Kenya that lessons can't be easily transferred

Lessons learned in UNICEF are generally not well summarised and analysed and this is the weakness of most of the HRBAP case studies. There is a lack of policy analysis that is being addressed now

Development of indicators for the global monitoring of the rights of children

UNICEF's work in 3 learning districts included outcome and some process indicators. The evaluation in year 3 of the operations will give an early indication about the usefulness of these indicators. HQ efforts in that area were not known to staff.

Strengthening and reinforcement of regional capacities in HRBAP

Systematic application of lessons or recommendations to key phases of the programme cycle and review at RO/CO level

Problem identification, situation analysis, sectoral issue forecast, planning, reporting

Collaboration with Plan International, Action Aid and World Vision which are taking over trainings from UNICEF

## UN reform

Kenya was 1 of 5 countries to roll out the new UNDAF in 2003

UNDAF is not based nor sufficiently informed by HRBAP and covers HRBAP only one outcome area because

Other UN agencies (UNDP, WFP, UNFPA) don't have training in HRBAP and don't understand the concept

The facilitators for the Kenya UNDAF from UNSSC, UNDG and former resident coordinators did not understand HRBAP well themselves

During the UNDAF planning process, UNICEF organised a HRBAP training session, but neither the resident coordinator nor the heads of the other UN agencies participated in that training

UN country team is sending only junior staff to HRBAP trainings

UN reform is perceived as a chance. While there was no guidance on HRBAP in other UN agencies in 2003, this situation has started to change now

Nevertheless, Kenya is in a complex situation as there are 28 active UN programmes in the country and not all agencies got guidance on HRBAP yet. That makes the work of the UN country team on HRBAP a challenge

There are fears that the global focus on MDGs is an emerging threat to HRBAP as there is only a focus on the MDG outcomes, not on processes (UNICEF learned the lesson in the past in the case of the exclusively outcome oriented immunisation campaigns that this kind of a outcome focus is not sustainable)

## Conclusions

### Human Resources Development

#### Capacity building

There is a clear leverage effect in HRBAP capacity building in Kenya. Plan International Kenya, Action Aid, World Vision, the Kenya Human Rights Commission and many CBOs have taken on HRBAP training and are engaged in its rollout.

#### Central government

At the government level HRBAP training needs for high officials is sufficiently covered since January 2005. The Kenya Human Rights Commission is training high-level government staff in HRBAP twice a month. The Kenya GJLOS donor SWAP generously funds the training and UNICEF is involved in the training activities.

#### District level government

In the three Learning districts, UNICEF and its partners have built HRBAP capacity successfully.

#### Local government

There is a gap in HRBAP capacity building in Kenya: Local chiefs, members of the local administrators, head teachers, health officials and others need further training in order to raise their awareness of HRBAP. Another challenge is that there is no encouragement

from the top of government to apply HRBAP as training just started for Permanent Secretaries and Heads of Departments.

#### Civil society based organizations

UNICEF HRBAP trainings have a considerable influence in CBOs. Organisations like Vision Plan Africa or the Child Life Trust changed their operational approach to development as a result of learning about HRBAP. Income generating programmes are the most important challenge for these CBOs in order to sustain community-based development. UNICEF is accommodating these demands by focusing HRBAP training on fund raising and proposal writing. Nevertheless, there is a need to extend considerably HRBAP training lead by CBOs themselves. In Nairobi and surroundings for example, there are 5000 children centres. The Child Life Trust e.g. is working in 381.

#### Documentations, assessment, dissemination and application off experiences HRBAP guidance

Generally speaking, there is a consistent gap at all institutional levels of guidance in the practical application of HRBAP. HQ guidance is not perceived as sufficient and a Regional Task Force was established in the past to focus on the application of HRBAP, based on the PPP manual. There is a feeling the different models of the operationalization of HRBAP are needed but that acceptance from HQ is missing

#### Dissemination of country experience and its role in informing better programming practices

In UNICEF Kenya, there is the perception that HQ is treating HRBAP dogmatically and that there is no space for disseminating the regional task force's operationalization for HRBAP.

At the CBO level, there is an understanding that the documentation, monitoring and evaluation of HRBAP is important and not yet handled well enough. This is not equally strong articulated but some stakeholders see documentation, monitoring and evaluation as a chance for further fund raising. The recent evaluation "Implementing the Household and Community Component of IMCI in the Eastern and Southern Africa Region"<sup>2</sup> makes this point more prominently.

#### Value added of Global Consultation for organisational learning

It can be concluded that the value added of the Global Consultations is limited. There is an perception that they took place in an atmosphere of competition and rivalries with a negative impact on learning.

#### Models of organisational learning

Case studies can be a valuable learning tool, but they need to be properly analysed and summarised. In the Kenya context, knowledge transfer from neighbouring countries

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<sup>2</sup> Lucas et al. 2004



seems to be a challenge due to the huge differences in society. The most efficient learning models seem to be the transfer of staff and learning from evaluations Development of indicators for the global monitoring of the rights of children

The Kenya CO is one of the few COs that is developing indicators for the global monitoring of the rights of children. As in other COs, staff was unaware of HQ's work in that area

Strengthening and reinforcement of regional capacities in HRBAP

HRBAP and HRBAP related learning is integral parts of the programme cycle in the Kenya CO. It is a desirable development that partners are now taking over UNICEF's role in capacity building as this puts HRBAP on a wider and stronger fundament.

UN reform

The UN Reform process made a slow start in terms of HRBAP application. The current UNDAF is not HRBAP based but the awareness and openness of partner UN agencies towards HRBAP is increasing.

The fears that the global focus on MDGs are an emerging threat to HRBAP as there is only a focus on the MDG outcomes, not on processes

Recommendations

Human Resources Development  
Capacity building

In Kenya, UNICEF should further stimulate HRBAP capacity building for another 3 -5 years as its interventions just start to bear fruits. After the successful start of HRBAP capacity building HRBAP training needs to be considerably up-scaled and sustained. UNICEF's role in this process should remain at the level of offering support, not to lead. It is further recommended that UNICEF Kenya shares its work plan with the Kenya Commission for Human Rights to assess where joint activities can be identified, especially in hard to reach districts. Two specific areas of joint working are (a) children in prison and the inclusion of the community in the rehabilitation process and (b) HRBAP capacity building for the Commission's new office in the North East Province.

Documentations, assessment, dissemination and application off experiences  
HRBAP guidance

It is recommended that the CO presents a comparison of different ways of programming to show the difference HRBAP makes. As development organisation and government counterparts sometimes already use elements of HRBAP like participation, it is important

to explain that there is nothing wrong with what these partners were doing in the past, but that their approach can be further systematised.

Different models of operationalizing HRBAP are logically linked to the socio-economic and cultural differences in regions and sub-regions and sometimes even countries. There should be the openness in UNICEF to admit that there is not a one-fits-all model.

Dissemination of country experience and its role in informing better programming practices

UNICEF HQ should clarify whether region specific approaches to operationalizing HRBAP are desirable. If so, a variety of different approaches that work in different countries and environments should be widely disseminated as an operationalization “menu”.

The documentation, monitoring and evaluation of the impact of applying HRBAP is crucial in an environment of results based management (RBM). Instead of perceiving RBM as a rivalling threat to HRBAP that is focusing only on outputs instead of process, UNICEF HQ and ROs need to make clear the logical and mutually supporting link between the two policies.

Value added of Global Consultation for organisational learning

Global Consultations should not be favoured as a tool for organisational learning unless they are focused on a very specific HRBAP issue rather than being the platform for competition.

Models of organisational learning

More effort should be put into the proper analysis and packaging of case studies as a means of organisational learning

Development of indicators for the global monitoring of the rights of children

After the evaluation of the COs work in three learning districts , the indicators and the results of their assessment should be presented to colleagues in the sub-regional and region in order to stimulate a dialogue about similar indicators for similar interventions in ESARO.

Strengthening and reinforcement of regional capacities in HRBAP

It is recommended that the Kenya CO continues the current practice of systematically applying lessons or recommendations to key phases of the programme cycle and review.

UN reform

The concepts of operations of donors often overlap in principles with HRBAP. But there is still a lack of clarity and there is a chance of influencing others by showing what the added value of HRBAP is. Even though the UNCT is very large in Kenya, the CO and

like-minded partners could win hearts and minds of others by applying HRBAP to their terminology and to stress communalities in the programming approaches.

It is recommended that the link between the MDGs and HRBAP is sufficiently addressed in the CO in order to strengthen the confidence of staff.

## ESARO

### Human resource development

The section for regional planning took the lead in developing the first HRBAP manual in 2002 and country representatives and Programme Officers from 22 countries were trained. Additional training of consultants were undertaken.

Due to UN reform, the HRBAP manual was reedited in 2003 to address both community and higher-level policy and advocacy work. After a piloting period, the manual was disseminated. The feedback to the reedited manual was very positive at the regional TOT training in Tanzania in 2005. Changes in the manual included:

The gender section was strengthened

M&E was more prominently included

The link of Results based planning and HRBAP was clarified

UNICEF is the lead agency for CCA/UNDAF quality assurance for 3 years now. In that capacity, UNICEF organised at least 1 day on HRBAP training per year for other UN agencies.

OHCHR training in year one was perceived as being too theoretical. Now the UNICEF regional training package is used and OHCHR gets 1-2 hours to explain legislative issues.

Documentations, assessment, dissemination and application of experiences

Effectiveness of programming guidance

HQ has to provide global leadership and regions are looking for that. There is a feeling of a drop in organisational commitment towards HRBAP.

Buy in from senior management in UNICEF is needed to enable RO staff to talk confidently to high level government staff.

RO feels that the influence of the HRBAP advisor in HQ is decreasing due to the fact that she is not placed in Policy Division any more.

Clarity between MDG drive in UNICEF and HRBAP is needed. There is a perception that MDG focus is counterproductive for HRBAP as it is focusing on outcomes, not processes. Guidance on HRBAP capacity building is still too theoretical. The application focus needs to be sharpened.

“Was all the time and energy we invested in learning, in tools and materials in vain?”  
ESARO PO

Policies and frameworks strengthened/supported by application of HRBAP

Prior to the change of the Regional Director, a HRBAP assessment for AWP and Programme reviews was mandatory. It is not mandatory any more.

Dissemination of country experience and its role in informing better programming practices

Documents need to be further analysed and simplified in order to inform better programming practice

Models of organisational learning

Personal meetings at regional level, e.g. of the regional facilitators should be further encouraged

After training follow-up is needed to sustain the capacities built

CBOs and governments need to get to the point where they are demanding HRBAP from donors – this will take up to 5 more years in the region

Learning events have been abolished and HRBAP training has been cut back considerably – both approaches were successful in terms of organisational learning

UN Reform

After the OECD DAC meeting in March 2005 in Paris UN country teams in the region have been asked to give up CCAs and rather to align their work with national plans and PRSPs than planning UNDAFs

As a result only 1 out of 9 country teams that were due to develop a CCA went ahead with the CCA. Ethiopia, Lesotho, Malawi, Mozambique, Tanzania, Zambia and Zimbabwe are among the countries that did not develop CCAs

UNICEF now uses SITAN and the MDG needs assessment as a fall back position

The challenge for embedding HRBAP is that in new National Alignment process there are different timings for the country's "realignment meetings" and each country has its own timing for work plan alignments.

This makes co-ordinated regional capacity building in HRBAP nearly impossible

MDG needs assessments are not HRBAP based any more

UNDP needs assessment is not HRBAP based

UNICEF still has a quality assurance role and uses HRBAP based templates, but it has no control over the use of its comments

UNICEF lost control over consultants and TOR for assignments are often not HRBAP based any more

UNFPA is very enthusiastic about HRBAP, UNDP is interested but needs more awareness raising and WFP is not receptive for HRBAP

The number of joint WFP-UNICEF programmes is increasing but they are not based on HRBAP; WFP applies its livelihoods approach and UNICEF HRBAP

The MDGs and RBM are a challenge for internal UNICEF staff

In the past, there was not enough effort in showing/measuring what UNICEF does with communities; that's why RBM comes as a challenge now

UNICEF capacity building and technical assistance is at its starting point: ESARO Review for all 20 countries in East and South Africa

Country logframe

Summary results matrix

UNDAF results matrix

## Guidance

HQ has to get back to its position of providing global leadership. Regions are looking at HQ but are uncertain about HQ's commitment. Only with full HQ backing it will be possible to engage in a dialogue about HRBAP with senior government officials.

## Human resource development

The "easy part" of capacity building is done: training of own staff and most partners  
Now HRBAP capacity building needs to be up scaled to and at all institutional levels.  
In order to get UN partners trained for the National Alignment processes, major endeavours are needed. If not there is the danger of losing the achievements of HRBAP  
There are no guidance or direction from HQ about how to go ahead with the National Alignment processes, let alone how to integrate HRBAP in these alignments  
Applying HRBAP for SITAN is easy, for CCAs it is more difficult but the application in PRSPs is beyond current capacities  
Currently agencies are looking for guidance to UNDG more than ever to get guidance on the alignment process as every single UN agency is effected - joint guidance on joint problems is needed urgently as the process is happening so quickly  
As many UNICEF staff is based in UNDG, its role for saving HRBAP in the Alignment process is more prominent than the one of UNICEF HQ

## Conclusions

### Human resource development

ESARO was leading in human resources development since the early days of HRBAP and this resulted in multiple training activities across the region. As a reaction to UN Reform the HRBAP training manual was reedited for the use of UN partners. ESARO is leading HRBAP training in the UNDAF process.  
The National Alignment Process and the PRSP are major challenges for HRBAP capacity building in the future.

Documentations, assessment, dissemination and application of experiences

### Effectiveness of programming guidance

The effectiveness of programme guidance is hampered in ESARO by the strong perception among staff that there is a lack of support from HQ, partly due to organisational changes. That considerably limits the confidence of staff of engaging in a high level dialogue about HRBAP with government counterparts.

### Policies and frameworks strengthened/supported by application of HRBAP

The application of HRBAP in the RO was nearly universal in the past. For the current Regional Director there is a challenge to stimulate staff and maintain these high standards in a rapidly changing environment where staff needs to work at all policy levels and

enters some previously unknown areas. This situation is further complicated by the discussions about the relocation of ESARO to Johannesburg, by a new division of labour among UN agencies and rapid UN reform.

Dissemination of country experience and its role in informing better programming practices

While the dissemination of country experience is important, information needs to be packed in an easier digestible way.

Models of organisational learning

Staff perceives personal meeting and learning events as a effective model of learning. These activities need to be followed -up to keep the dialogue alive. This applies to UNICEF and its partners.

UN Reform

UN reform is gaining speed. UNICEF is not yet positioned to respond to the ever-changing structures. While in the UNCT agencies like UNFPA and UNDP are now aware of HRBAP, the national alignment processes are now the next challenges.

Guidance

The RO is looking to HQ for guidance and leadership on HRBAP

Recommendations

Human resource development

ESARO should continue to lead HRBAP capacity building in the UN reform process. Its latest training manual should be widely shared within UNICEF to reengage the organisation in the HRBAP dialogue and to show how UNICEF can respond to the latest challenges like UN Reform or RBM without questioning HRBAP, to encourage staff and to boost its confidence in applying HRBAP.

It should be in the interest of the HQ that the changes in the manual including the strengthening of gender, M&E and RBP should be shared with other offices for internal training purposes.

Documentations, assessment, dissemination and application off experiences

Effectiveness of programming guidance

It is recommended that HQ clarifies its position towards HRBAP in order to boost the confidence of ESARO staff for applying HRBAP in a rapidly changing environment.

## Policies and frameworks strengthened/supported by application of HRBAP

In a rapidly changing environment that causes many uncertainties for staff, it is recommended that staff finds security in internal structures and procedures. This is a chance for HRBAP to be maintained at the high levels of the past. It is recommended to continue strengthening policies and frameworks by applying procedures that proved to have worked in the past and new ones that proved to have worked in other regions.

Dissemination of country experience and its role in informing better programming practices

When preparing case studies, utmost care should be taken to properly analyse the documents and to elaborate them in an easily digestible way. This might require the skills of a communication expert.

## Models of organisational learning

Based on the clear findings and conclusions, it is recommended to create time for learning events and follow-up to enable personal meetings of staff and ongoing dialogue. In order to create this opportunity, HRBAP needs prioritisation, e.g. other activities need to be dropped.

## UN Reform

UNICEF needs urgently to assess how COs are reacting to national alignment processes and what are ways to influence these processes by HRBAP. It is recommended to create a task force lead by ESARO and constituted also by staff of relevant COs (that are dealing with national alignment processes) of the region. HQ staff should assist this task force to facilitate the information exchange with senior management in New York and to engage in a regional dialogue about capacity building.

## Guidance

UNICEF senior management should give the regions a clear signal regarding HRBAP's value and usefulness as the only programming tool for the organisation



## **Annex 5: Capacity Building Assessment Framework**

The framework is a pdf file available at:

<http://venturephilanthropypartners.org/learning/reports/capacity/capacity.html>

## Annex 6: Evaluation questionnaire

### Questionnaire for UNICEF External Evaluation on HRBAP

*NB: This questionnaire has been prepared by the independent evaluation team in consultation with the Human Rights Unit at NYHQ. It is part of an evaluation of Phase 2 of the Human Rights Based Approach to Programming project, carried out on behalf of UNICEF and DFID by Pierre Robert and Achim Engelhardt. The objective of the questionnaire is to contribute to this evaluation by complementing other information-gathering and analysis work by the consultants (including planned visits to ROs and some COs, interviews at HQ and literature reviews).*

*Please kindly reply to this questionnaire by highlighting the relevant answer(s) or marking them with an X or deleting the other answers. Please email or fax the completed questionnaire to Akila Belembaogo with a copy to Dr Achim Engelhardt: [achim@parcinfo.org](mailto:achim@parcinfo.org), fax: +44 121 706 4888. Please also contact Dr Achim Engelhardt if you have any questions or concerns about the questionnaire.*

*We would be most grateful if you could return completed questionnaires by 15 August 2005.*

*Thank you.*

1. Location of your office:

2. Which of these statements best applies to you?

- a. I am familiar with the HRBAP framework to an appropriate degree.
- b. I know about the HRBAP framework but would like to know more about it.
- c. I know a little about the HRBAP framework but not enough to use it.
- d. I am not familiar with the HRBAP framework.

3. Where does the main impetus for you to use HRBAP come from? Please rank the following in order of importance:

- a. Headquarters
- b. RO
- c. CO Representative
- d. OHCHR, other UN Agency
- e. UNCT
- f. NGO
- g. Government
- h. International organization (donor, World Bank, etc)
- f. Other (please specify)

4. What is your main means of technical support to understand HRBAP? (Select one or more)

- a. The PPP Manual
- b. The PPTM
- c. Core course on HRBAP
- d. UNICEF intranet
- e. Other UNICEF documents (specify)

- f. Exposure through training or seminars (please specify)
- g. Discussions with colleagues
- h. Concluding Observations of the CRC or CEDAW Committees
- h. Other (please specify)

5a. If you gained exposure to HRBAP through training or seminars, who organized it?

5b. In case you underwent training using the above-mentioned training materials, has gender equality mainstreaming been specifically addressed?

- a. Yes
- b. No

5c. If gender equality mainstreaming has been addressed in training, has this been done through: (select one or more)

- a. A specific session on gender
- b. Mentions of gender in activities
- c. Presence of a gender expert among the facilitators
- d. Other (please specify)

6. In general, how useful do you find the support you've received on HRBAP?

- a. Very useful
- b. Useful
- c. Moderately useful
- d. Not useful

7. Please indicate whether you agree or disagree with the statements below, in the light of *your own* experience:

a. HRBAP offers good analytical tools to identify thematic priorities  
 Agree totally      agree      Not sure      Disagree      Disagree totally

b. HRBAP helps build consensus with partners  
 Agree totally      agree      Not sure      Disagree      Disagree totally

c. HRBAP helps identify people with the greatest needs  
 Agree totally      agree      Not sure      Disagree      Disagree totally

d. HRBAP helps deal with issues of gender inequalities  
 Agree totally      agree      Not sure      Disagree      Disagree totally

e. HRBAP contributes to the design of crisis responses  
 Agree totally      agree      Not sure      Disagree      Disagree totally

f. HRBAP helps build capacity within partner NGOs  
 Agree totally      agree      Not sure      Disagree      Disagree totally

g. HRBAP helps build capacity within government agencies  
 Agree totally      agree      Not sure      Disagree      Disagree totally

h. HRBAP is a strong platform on which to build UNDAF and joint programming approaches

Agree totally            agree            Not sure            Disagree            Disagree totally

i. UNICEF has not been clear about what HRBAP is

Agree totally            agree            Not sure            Disagree            Disagree totally

j. HRBAP makes it difficult to select among priorities

Agree totally            agree            Not sure            Disagree            Disagree totally

8. How adequate is UNICEF's HRBAP toolkit to meet your needs in the following work:

a. Annual Review of Programme of Cooperation

Excellent            Adequate            Not sure            Mediocre            Inadequate

b. Mid-Term Review of Programme of Cooperation

Excellent            Adequate            Not sure            Mediocre            Inadequate

c. Situation Analysis

Excellent            Adequate            Not sure            Mediocre            Inadequate

d. CCA

Excellent            Adequate            Not sure            Mediocre            Inadequate

e. UNDAF

Excellent            Adequate            Not sure            Mediocre            Inadequate

f. PRS

Excellent            Adequate            Not sure            Mediocre            Inadequate

g. Advocacy activities

Excellent            Adequate            Not sure            Mediocre            Inadequate

h. Fundraising proposals

Excellent            Adequate            Not sure            Mediocre            Inadequate

i. Dealing with political changes in country or region

Excellent            Adequate            Not sure            Mediocre            Inadequate

j. Dealing with social/economic changes in country or region

Excellent            Adequate            Not sure            Mediocre            Inadequate

9. What mechanisms exist in your office to ensure systematic application of HRBAP? (Please describe)

10. Which major challenge(s) does your office face in implementing the HRBAP? (Select one or more)

- a. No particular challenges
- b. Lack of guidance or support from HQ
- c. Lack of guidance or support from RO
- d. Lack of guidance or support from CO
- e. Disagreements within office
- f. Resistance from NGO partners
- g. Resistance from government partners
- h. Difficult political environment
- i. Difficult social/cultural conditions
- j. Lack of resources
- k. Other (please specify)

11a. To what extent has UNICEF been able to disseminate good examples of HRBAP and to help cross-fertilisation between offices?

Significant      Moderate      Not sure      Mediocre      Low

11b. If your office has benefited from the dissemination of good HRBAP practice, please explain how this happened:

12. How has HRBAP altered your approach to programming and your experience of implementation?

- a. Significantly
- b. Somewhat
- c. Minimally
- d. Not at all

Please explain:

13. To what extent has HRBAP contributed to mainstreaming gender equality?

- a. To a significant extent (HRBAP was key to mainstreaming)
- b. To some extent (mainstreaming may have been helped by HRBAP)
- c. To a small extent (mainstreaming happened irrespective of HRBAP)
- d. To a minimal extent (mainstreaming was weak anyway, HRBAP didn't help)

14. How do you assess the influence of the HRBAP on the CCA/UNDAF process?

- a. Good
- b. Adequate
- c. Mediocre
- d. Minimal

15. How do you assess the influence of the HRBAP on the PRS process?

- a. Good
- b. Adequate
- c. Mediocre
- d. Minimal

16. What are your recommendations to help ensure that UNICEF achieves its objective of HRBAP being effectively implemented across the whole of the organization?

17. Do you have further comments on HRBAP? (Please elaborate on any of the above)

Please indicate:

Your gender:

Status (IP/National) and Level:

Years with UNICEF:

## Annex 7: List of people met

Persons interviewed in alphabetical order by country			
<b>Personal interviews</b>			
<b>Name</b>	<b>Position</b>	<b>Organisation</b>	<b>Country/Region</b>
Sabatini, Fabio	Regional Programme Officer	UNICEF	CEE/CIS
De Figueroa, Miriam R.	Country Representative	UNICEF	El Salvador
Erickson, Elspeth	Programme Coordinator	UNICEF	El Salvador
Gonzales, Francisco	Monitoring and Evaluation officer	UNICEF	El Salvador
Lima, José	Project Officer	UNICEF	El Salvador
Rohr, Beat	Resident Coordinator	UNDP	El Salvador
Allen, Karen B.	Regional Programme Planning Officer	UNICEF	ESARO
Ford, Neil	Senior Advisor Programme Communication	UNICEF	ESARO
Godt, Sue	Project Officer HIV & AIDS (Life Skills)	UNICEF	ESARO
Shoo, Rumishael	Regional Health Advisor	UNICEF	ESARO
Acosta Vargas, Gladys	Country Representative	UNICEF	Guatemala
Gerstenberg, Birgit	Acting Head of Office	OHCHR	Guatemala
Liendo, Oscar	Social Policy Advisor	UNICEF	Guatemala
Mejía Machuca, Jorge	Programme Coordinator	UNICEF	Guatemala
Eeles, Miranda	Communication Officer	UNICEF	Iran
Abdel-Jelil, Youssouf	Deputy Regional Director	UNICEF	Jordan (MENARO)
Belbase, Krishna	Regional PO (M&E)	UNICEF	Jordan (MENARO)
Idris, Muna	Assistant Representative	UNFPA	Jordan
Ionita, Dr George	Regional HIV/AIDS Advisor	UNICEF	Jordan (MENARO)
Salem, Anis	Regional Advisor, Communication	UNICEF	Jordan (MENARO)

Skatvedt, Anne	Representative	UNICEF	Jordan
Adolwa, Peter		Livington Church	Kenya
Donde, Frederick	Chief, Water, Environment al Sanitation Section	UNICEF	Kenya
Gitau, Moses		Ministry of Gender and Social Services	
Jasianga, Hellen		Women Fighting Aids	Kenya
Kachok, John		KEMSUP Secretariat	Kenya
Kihuha, Ester W.		Global Nutrition	Kenya
Kimyamjui, Stephen		Jipe Moyo Project	Kenya
Laakkonen, Heimo	Country Representative	UNICEF	Kenya
Lujes, Jason, M.		MUUM	Kenya
Nderitu, Alice W.	Programme Officer	Kenya National Commission on Human Rights	Kenya
Mocha, Andres		Provincial Water Office	Kenya
Muiniri, Mary		Shelter Children's home	Kenya
Musau, Kioko			Kenya
Mutuaruhiu, Maina	Programme Officer	Kenya National Commission on Human Rights	Kenya
Mwangi, Benson		Vision Plan	Kenya
Oyalo, Michael		Ministry of Planning	Kenya
Person, Roger	Senior Programme Officer	UNICEF	Kenya
Rucio, Agosto, R.		Kawgugwave Street Youth	Kenya
Tsohora, Fr. Michael		Rose Mystica	Kenya
Wabike, Bonee		UNICEF Kenya	Kenya
Wachira, David		Vision Plan	Kenya
Wangele, Festo		Child life Trust	Kenya
Wanjirru, Jane		Mothers Concern	Kenya
Zaman, Maniza S.	Nutrition Section	UNICEF	Kenya
Ayoub von Kohl, Maie	Country Representative	UNICEF	Morocco
Dobos, Juliana	M&E Officer	UNICEF	Morocco



Gierow, Catherine	Coordination Officer	Resident Coordinator Office	Morocco
Guzman, Lenin	SPO	UNICEF	Morocco
Helle, Yvonne	Deputy Res. Rep.	UNDP	Morocco
Laabid, Dr Ahmed	Health Programme Officer	UNICEF	Morocco
Lardi, Dr Mohammed	Nutrition Programme Officer	UNICEF	Morocco
Lyne, Kevin	Deputy Head of Mission	British Embassy	Morocco
Sàenz de Jubera	Consultant	UNOCD	Morocco
Akinboyo, Gbemisola	Project Officer (HRU)	UNICEF	NYHQ
Balaji, Dr L. N.	SPO (Strategic Planning)	UNICEF	NYHQ
Belembaogo, Akila	SPO (HRU)	UNICEF	NYHQ
Bult, Pieter	Learning Officer	UNICEF	NYHQ
Canafoglia, Monica	Project Officer (HRU)	UNICEF	NYHQ
Delamonica, Enrique	Programme Officer	UNICEF	NYHQ
Engle, Patrice	Senior Advisor, IECD	UNICEF	NYHQ
Khan, Noreen	Programme Officer	UNICEF	NYHQ
Morgan, Richard	Chief, Strategic Planning Division	UNICEF	NYHQ
Mukelabai, Dr Kopano	Senior Health Advisor	UNICEF	NYHQ
Palm, Detlef	Deputy Director, Internal Audit	UNICEF	NYHQ
Stewart, David	SPO, Policy Advocacy	UNICEF	NYHQ
Andrade Castro, Nancy	Country Representative	UNICEF	Panama
Alemán, Ramón	Lawyer	Independent	Panama
Arosemena, David		NGO House of Hope	
Causadillas, José	Coordinator of penal centres for adolescents	Ministry of Social Development	Panama
Chaverri, Roderick	Director of childhood	Ministry of Social Development	Panama
Cuellar, Miguel	Programme Coordinator	UNICEF	Panama
Davila, Ericka	Monitoring and Evaluation consultant	UNICEF	Panama

De Souza, Clara	Consultant	Facilitator of the process for the elaboration of the integrated protection law	Panama
De Troitiño, Esmeralda	Judge	Supreme Court of Justice	Panama
Fernández, Zulima	Ombudsperson	Ombudsperson office for the defence of children	Panama
Giannareas, Jorge	Consultant for legal reform	Independent	Panama
López Fuscaldo, Gloriana	Programme Assistant	UNICEF	Panama
Padilla, Armando	Judge	Tribunal for adolescents	Panama
Paredes, Nelly	Judge	Tribunal de Familia, Organo Judicial	Panama
Polo Roa, Luis	Journalist	National Association of journalists	Panama
Reiss, Lourdes		NGO National network of children and adolescents	Panama
Trujillo, Yara	Social worker	Ministry of labour	Panama
Wing, Fernando		NGO Comisión for Justice and Peace	Panama
Baaroy, Jan Olav	Programme Officer Health	UNICEF	Tanzania
Chorlton	Rozanne	UNICEF	Tanzania
Cyimana, Ingrid	UNDAF Advisor	UNDP	Tanzania
Jensen, Kira Fortune	Assistant Programme Officer – HIV/AIDS	UNICEF	Tanzania
Mabina, James	Project Officer (Community based planning)	UNICEF	Tanzania
Phillips, Rodney	Country Representative	UNICEF	Tanzania
Young, Hamish	Senior Programme Coordinator	UNICEF	Tanzania
<i>Line Manager of Kira Fortune Jensen</i>		UNICEF	Tanzania

Conde Zabala, Maria Jesús	Regional Advisor, child protection	UNICEF	TACRO
Indreiten, Liv Elin	Adolescent development, participation and gender equity	UNICEF	TACRO
Kartsberg, Niels	Regional Director	UNICEF	TACRO
Legón, Osvaldo	Regional Advisor, health and nutrition	UNICEF	TACRO
Lone, Haleem	Regional Planning Officer	UNICEF	TACRO
Lopez, Vivian	Regional Project Officer, HIV/AIDS	UNICEF	TACRO
Norton, Chrisitne	Regional Advisor, Adolescent development, participation and gender equity	UNICEF	TACRO
Ortiz Bru, José Juan	Regional advisor, multicountry programme	UNICEF	TACRO
Sottoli, Susana	Regional advisor, Public policy	UNICEF	TACRO
Mr Nino	Human Resources	UNICEF	TACRO
Mr Ivan	Emergencies	UNICEF	TACRO
<b>Group interviews</b>			
Staff meeting		UNICEF	El Salvador
Staff meeting		UNICEF	Panama
Staff meeting		UNICEF	TACRO
Staff meeting		UNICEF	Tanzania
Staff meeting		UNICEF	CEE/CIS
Staff meeting		UNICEF	MENARO

## **Annex 8: Terms of Reference of the evaluation**

### Background

In 2001 UNICEF and DFID entered a partnership for the implementation of the Project “Strengthening UNICEF Human Rights-Based Programming, Phase 2”. The Project aimed “to increase UNICEF’s capacity to apply human rights principles to its operational programmes worldwide. This will support the longer-term goal of applying a human rights-based approach to programming in all 161 UNICEF Programmes of Co-operation”.

Since the beginning, emphasis was put on the potential of the Project’s outcomes for cross-fertilization between UNICEF and DFID and how the Project would be instrumental in facilitating the mutual sharing of experiences and lessons learned.

It was also agreed that due to the nature of the Project, a global capacity building and institutional development effort, conventional field based monitoring and evaluation methods would not be appropriate to measure progress over time and evaluate effectiveness. Monitoring and evaluation would thus be a continuous process throughout the Project cycle and the Project logical framework would provide the basic format for measuring progress.

Since the start-up phase, a paradigm shift has occurred in UNICEF and the HRBAP “is no longer a new, special issue” but is significantly influencing UNICEF modus operandi. However, important challenges still remain on how to operationalise the approach in some programme and/or geographic areas.

Through different activities (clustered in four sub-projects) the Project has sustained staff capacity building particularly in the field, ensured documentation and dissemination of experiences and good practices on the application of HRBAP, supported exchanges of lessons learned for further Organisational development.

Some adjustments of the strategies originally planned have taken place in the course of implementation in order to seize opportunities and react to external changes affecting the management as well as the strategies originally planned. The outcomes and purpose of the Project, however, have remained unaltered.

The Project was conceived as a component of UNICEF’s overall efforts to improve the Organisation’s understanding and operationalisation of HRBAP. In 1999, in fact, the UNICEF Executive Board was advised that the Organisation would undertake to document and facilitate the exchange of experiences with the new approach, intensify dialogue with partners, assess progress and extract lessons learned, all of which would be used to update programme guidance. The Project’s implementation and its achievements, therefore, have to be contextualised within the broader policies and strategies of UNICEF as well as of the overall UN system.

### Objectives of the Evaluation

#### General Objective

The purpose of the study is to assess to what extent the activities supported by the Project have contributed to a systematically increased capacity of UNICEF at global, regional and

country levels to apply a human rights-based approach to programming to its programmes of cooperation.

#### Specific objectives

In particular, the evaluation will look at the Project role in:

Enhancing NYHQ capacity to support and guide the organisation in the further development and application of the human rights based approach;

Enhancing Regional capacities (both Regional Offices and Country Offices) to effectively provide the leadership for capacity building, assistance and advice for the application of a HRBAP.

The evaluation will also consider some aspects related to the project management in order to assess how the Project has reacted to external influences and opportunities.

The Project log-frame will represent a starting point for the study, issues to be given primary consideration will include<sup>3</sup>:

#### Human Resources Development

The extent to which UNICEF strategies at global level have contributed to capacity development on HRBAP;

The type of staff capacities the Project has contributed to build (and the extent to which UNICEF staff can be considered technically equipped to apply a HRBAP).

#### Documentation, assessment, dissemination and application of experiences

The extent to which the systematic assessment, documentation and dissemination of country-experiences in the application of a HRBAP have informed better programming practices and have been reflected in development policies and frameworks;

The nature of the lessons learned disseminated through UNICEF case studies and other relevant documentation, i.e. were they anchored on verified assessments or rather based on subjective perceptions?

The effectiveness of UNICEF programme guidance issued to support ROs and COs in applying the approach;

The extent to which initiatives such as the UNICEF HRBAP Global Consultations on HRBAP have contributed to furthering organizational learning on and identifying the practical implications of a HRBAP.

#### Development of Indicators for Global Monitoring of the Rights of Children

The extent to which additional indicators have been identified and developed;

The extent to which, and how, they are informed by the basics of a HRBAP.

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<sup>3</sup>The issues will be further refined during the inception phase.

Strengthening and reinforcement of regional capacities in human rights-based programming

The extent to which recommendations and lessons learned have been systematically applied to key phases of the programme cycle and programme review at Regional and Country Office level;

The extent to which the different activities supported by the Project have contributed to establish/strengthen regional mechanisms to facilitate and monitor the progressive application of the approach at country level (see sub-project four, especially).

The evaluation will not only look at the challenges of the implementation phase; it will also consider how HQ, Regional and Country Offices have sized existing opportunities. More in general the study will identify the elements of success for a systematic application of a HRBAP.

A distinctive set of recommendations for each of the sections above will be provided

### Project Management

Project ability to mainstream and overcome obstacles to mainstream;

The extent to which the Project has adapted to changing situations and seized opportunities;

How progress in the various components has been monitored;

Links with DFID and other international partners.

The evaluation will make recommendations on possible scenarios for the continuation of this overall capacity strengthening effort without any donor support.

### Methodology

The evaluation will be conducted using different methodological tools that will be further specified and consolidated during the inception phase. The tools will include:

Desk reviews of UNICEF documents produced at HQ, regional and country levels (i.e. Annual Reviews on the HRBAP, case studies, Global Review of the case studies, Analysis of the Human Rights-based Approach to Programming, including Gender Mainstreaming and Women's Rights, and UNICEF's MTSP, Final Reports of the two UNICEF Global Consultations on HRBAP, training evaluation reports when available, etc.);

Detailed discussions with the Project implementers;

Detailed discussion with donor's representatives;

Review of existing monitoring and evaluation material from the Project (e.g. interim reports, field visits' reports, guidance for Country Offices Annual Reports, questionnaire for the MTR/MTSP and other similar documents);

Interviews (personally or through self-completion questionnaires) of selected key staff at HQ, Regional and Country levels, who have actively been engaged in some of the Projects funded activities (see attached list);

Interviews with key personnel of other sister agencies and INGOs promoting and applying the HRBAP.

## Deliverables

One Final Evaluation Report of about 60-80 pages, with an Executive Summary and Annexes. Among the Annexes one will present strengths and weaknesses of the evaluation.

A Power Point presentation of the methodology of the evaluation, the main findings and recommendations.

An indexed compilation of the various documents used in the report, including interview reports.

## Work plan

The study will be conducted over a 3-month period maximum by a team of two consultants with excellent experience in human rights based approach to programming, development and in depth knowledge of the UN system.

A Reference Group composed of representatives of the Global Policy Section and the Strategic Planning and Programme Guidance Section, of Programme Division, of the Evaluation Office and DFID's representatives will advise the consultancy. The Reference Group will meet at least once with the consultant in order to discuss and comment the inception report. A second meeting to discuss and comment the draft final report might be agreed upon by the members of the Group in light of the work of the consultant.

The study will be finalised through a three-step process:

Inception phase: the consultant will review key project documentation, discuss with the supervisor and the project partners, and prepare an outline of the evaluation (max. 5 pages) including a refined methodology and a detailed work plan. Time: up to 4 weeks

Additional reviews and interviews: based on the approved inception report, the study will go into the main phase and the consultant will collect further data and information on the Project and its impact, assess and consolidate the findings into a draft final report. This part may include field visits to selected Regional and Country Offices (up to two) as well as interviews with UNICEF personnel, representatives of other UN sister Organisation agencies involved in the operationalisation of the HRBAP. The consultant may also interview independent HRBAP experts. The output of this phase will be a draft final report. Time: up to 8 weeks.

Final Report: the draft report will be finalised according to the comments received by the Reference Group (who will send comments within two weeks of receiving the draft). Time: up to two weeks (to review the draft report based on the comments of the Reference Group).

## **Annex 9: List of background documents**

### **Documents related to the Project**

1. Original Project Document
2. Project Logframe
3. Monitoring and Evaluation Schedule
4. Interim Narrative Reports:
  - a. December 2002
  - b. March 2003
  - c. October 2003
  - d. March 2004
  - e. October 2004
  - f. May 2005
5. DFID Scoring exercise
6. Report of joint DFID/UNICEF field visit to Malawi (2003)
7. Project document of Child Survival, Growth and Development: Applying the Human rights approach to the implementation of Community IMCI (Sub-Project 5, managed by the Health Section in New York)

### **UNICEF and UN HRBAP Documents**

1. A Human Rights Conceptual Framework for UNICEF, by Marta Santos Pais, 1999
2. UNICEF case studies conducted since the beginning of the Phase two of the Project Strengthening Rights-Based Programming in UNICEF (2001-2005)
3. Outcome documents of the First and Second UNICEF HRBAP Global Consultations (2002 and 2003)
4. Towards a UN Common Understanding - Second UN Inter-Agency Workshop, May 2003
5. Moving Ahead with Human Rights: Assessment of the Operationalisation of the Human Rights Based Approach in UNICEF Programming for 2002 (Moser & Moser Report)
6. HRBAP Progress Review 2003, Implementation of Human Rights Based Approach to Programming in UNICEF Country Offices (1998-2003) GPS/DPP, 2004
7. Global Review of UNICEF case studies on HRBAP, November 2004
8. Country Programme Evaluation at UNICEF as Part of the Human Rights Based Approach to Programming: An Effective Strategy in an Era of Change, concept paper by Ted Freeman, Senior Consultant Evaluation Office, NYHQ (2004)
9. The Human Rights Based Approach to Programming at UNICEF and its Implications for Evaluation, a discussion paper by Ted Freeman, Senior Consultant Evaluation Office, NYHQ (2004)
10. UNICEF's experience of promoting a human rights-based approach to programming. 1996 - 2004, by Akila Belembaogo
11. UN Secretary General Action 2 (2004)
12. Status of UNICEF contribution to the implementation of Action 2 work plan, February 2005



## **UNICEF policy, programming and strategy documents, reports and analysis**

1. UNICEF mission, 1996
2. EXDIR 98/004, Guidelines for Human Rights-Based Programming Approach
3. UNICEF, "Programme Cooperation for Children and Women from a Human Rights Perspective," Paper to the UNICEF Executive Board Annual Session, June 1999
4. MTSP Plan 2002-2005
5. Operational Guidance Note for the MTSP 2002-2005
6. A Human Rights-Based Approach to Programming for Maternal Mortality Reduction in a South Asian Context (a review of the literature, 2003)
7. Analysis of Human Rights-based Approach to Programming, including Gender Mainstreaming and Women's Rights, and UNICEF's MTSP- GPS/DPP, 2004
8. MTR of UNICEF MTSP (2002-2005), Analysis of Responses by the Country Reference Group - draft - PGQA/DPP, 2004
9. A Synopsis of innovations and lessons learned in UNICEF Cooperation (April 2005)
10. Programme Policy and Procedure Manual, 2005 revision

## **UNICEF Training Materials**

1. Core Course: Human Rights Principles for Programming
2. Programme Process Training
3. Programme Process Cd-Rom (short course)
4. Early Childhood Resource Pack
5. Humanitarian Principles Training
6. HRBAP short package (practical guidance to operationalise HRs and Child Rights principles)

## Annex 10: Presentation of the Evaluation

### External Evaluation of the DFID-Funded Project: Strengthening UNICEF Human Rights-Based Programming Phase 2



Dr Achim Engelhardt  
Pierre Robert  
November 2005

## Contents of the Presentation

- Introduction
- Overview of the HRBAP Project
- Methodology of the evaluation
- Findings
- Recommendations to DFID and to UNICEF
- Looking forward



## Introduction

### *Overall objective of the evaluation:*

To assess the extent to which the activities supported by the project have contributed to a systematically increased capacity of UNICEF at global, regional and country levels to apply HRBAP.

### *Sub-objectives:*

- To evaluate the role of NYHQ in supporting and guiding the development and implementation of HRBAP;
- To evaluate the capacity of Regional and Country Offices to provide leadership for capacity-building, assistance and advice for the implementation of HRBAP.





## Overview of HRBAP Project

- Project to enhance UNICEF capacity to apply human rights and principles and CRC provisions in CPCs to promote development results.
- Phase 2: since 2001 [Phase 1: 1999 - 2000]
- Overall original budget: US\$ 3,374,000
- Four sub-projects:
  - Human Resources Development
  - Documentation, assessment, dissemination
  - Indicators for global monitoring of children's rights
  - Strengthening and reinforcing global capacities



## Overview: Sub-Project 1

Objective:

=> Development of policies and guidelines, training, learning and practical assistance to staff.

Activities:

⇒ Contribution to the development of training materials: PPPM and PPTM; Core Course on HRBAP; IECD Resource Pack; translations.

⇒ Training of facilitators in HRBAP in the regions.

⇒ Contribution to the MTSP: surveys on learning needs.



## Overview: Sub-Project 2

Objective:

=> To assess, document and disseminate country experience in implementing HRBAP.

Activities:

⇒ Assessment of CO and RO programmes consistency with HRBAP.

⇒ 35 country, regional and thematic case studies.

⇒ Global consultations on HRBAP.

⇒ Dissemination of information on specific issues (eg. exclusion) through Intranet, etc.

⇒ Contributions to the development of MTSP, Action 2 and to other UN-wide consultations.





## Overview: Sub-Project 3

### Objective:

=> To analyse existing rights indicators, develop and test new indicators; to organise a review consultation.

### Activities:

⇒ *Analysis of selected indicators* (birth registration, FGM, harmful traditional practices, child labour).

⇒ *Research* (indicators, data-gathering methodology on children in care, in conflict with the law, protection from violence, abuse and discrimination).

⇒ *Review meeting* (consultation organised by CPS in Nov. 03, covered juvenile justice, formal care, etc).



## Overview: Sub-Project 4

### Objective:

=>To enhance capacity at regional and country level to implement HRBAP

### Activities:

⇒ Training of Programme Process facilitators familiar with HRBAP in each region.

⇒ Regional HRBAP training meetings (UNCTs invited).

⇒ Encouragement of liaison mechanisms within regions to share experience.

⇒ Visits and technical support from ROs to COs (or amongst COs).



## Overview: Links to UN Reform

Not originally an objective of the project, but opportunities were seized.

### Main activities:

⇒ An interagency workshop to enhance common understanding of HRBAP across the UN system.

⇒ Participation in UN reform activities (Action 2, follow-up to Paris Declaration on Aid Effectiveness).

⇒ Work on the CCA-UNDAF process (push for more rights analysis in CCAs, rights-based UNDAFs).





## Evaluation Methodology

Two external consultants, with experience of human rights, management, organisational development and evaluation good practice.

⇒ Study of documents (project reports, UNICEF policy, case studies, previous evaluations, training materials, etc).

⇒ Application of a capacity-building framework to assess change in UNICEF capacity.

⇒ Interviews (over 100 people at NYHQ, ROs and COs, and outside UNICEF) and field visits (TACRO, ESARO, CEE/CIS, MENA).

⇒ Questionnaire to selected ROs and COs (45 respondents)



## Findings - Questionnaire

- Respondents displayed high HRBAP awareness.
- Perceived as a HQ- and management-led process.
- Gender seen as well-mainstreamed in the training material.
- UNCT rarely seen as providing the impetus to adopt HRBAP.
- PPPM is the main source of guidance.
- Helpful to develop CCA and identify priorities, less relevant in practice to the UNDAF process.
- Little practical relevance to the PRS process, according to respondents.
- Government resistance, resource constraints are seen as the main challenges to implementing HRBAP more widely.



## Findings - Sub-Projects

Sub-project 1:

- High quality of policy and guidance documents.
- Good training materials.
- Missing link between HRBAP principles and practical implementation
- Field Offices more cautious than NYHQ about HRBAP being accepted by govt counterparts.
- Concern that follow-up to training was weak.

Sub-project 2:

- Programme reviews were relevant, as were the case studies, they both fed into the MTSP process.
- Learnings from country-based reviews and studies essentially limited to countries in the same region.
- Recommendations from global consultations not yet fully implemented, particularly regarding HRBAP in humanitarian emergencies and integrating women's rights in programming.





## Findings - Sub-Projects

### Sub-project 3:

- Development of useful new indicators and data-gathering methodologies.
- Major challenge: to measure the fulfilment of rights by a government.
- This challenge not yet met by the sub-project.
- Possible need to adopt a new method, based on reviewing the obligations of governments in relation to human rights.

### Sub-project 4:

- Research, networking, intra-regional support reinforced.
- Increased HRBAP awareness among staff, governments, NGO partners.
- Need for sustained follow-up with training, translations, advice.
- Need to work more closely with UNCTs and on PRSPs.



## Findings - UN Linkages

- Greatest impact: on CCAs - more use of human rights concepts in analysis of situation.
- Impact on UNDAF remains small - partly due to legacy of project portfolio developed before HRBAP project.
- Highly relevant work on Action 2:
  - Consensus on meaning of human rights for programming
  - UNICEF playing leading role in HRBAP side of UN reform
- Relevance to work on Aid Effectiveness
  - Paris Declaration opens new opportunity for HRBAP to be developed with other agencies.
- Key challenges:
  - HRBAP in emergency and humanitarian contexts
  - Use of HRBAP in countries where programming is based on PRSP (ie, integration of a human rights agenda with a poverty/growth agenda).



## Management & Capacity-building

- Effective project management:
  - Small, effective team
  - Good use of new opportunities (eg, Action 2)
  - Lack of team resources to provide expected support
- Insufficient work on other management linkages:
  - Integration of HRBAP in staff recruitment and appraisal processes
  - Some discrepancies across regions on understanding of HRBAP.
- Capacity-building analytical framework shows improvements:
  - HRBAP better integrated into organisation's culture
  - Development of a core of highly-trained staff
  - Range of good case studies, reports.
  - However: implementation still over-dependent on few key staff; lack of engagement of some sector specialists.





## Recommendations to DFID

- Continue support to UNICEF's HRBAP project in a new phase.
- Consider options for training staff on HRBAP at other UN agencies (with UNDGO).
- Consider options for supporting the indicators sub-project through the Innocenti Research Centre or a non-UNICEF research entity.



## Recommendations to UNICEF

### Management issues

- Reaffirm senior management support for HRBAP.
- Include HRBAP issues in the recruitment of managers:
  - Discuss during recruitment.
  - Consider HRBAP record of prospective managers.
  - Assess externally recruited managers quickly.
  - Ensure SPOs are assessed on the basis of HRBAP.
- Address decentralised management issues:
  - Take stock regularly.
  - Encourage co-management of HRBAP project with ROs.
  - Enhance human resource monitoring on HRBAP.
  - Provide management support to facilitators on HRBAP.
  - Train managers in HRBAP strategy.
- Discontinue HRBAP annual programme reviews (redundant).



## Recommendations to UNICEF

### Training issues

- Streamline and translate.
- Review the PPPM format and updating process.
  - Stand-alone sections
  - Country examples
  - Timely updates
  - Hyperlinks to examples
- Train more HRBAP facilitators (2 staff per region).
- Review the training (make more practical).
- Develop more specialist training modules (emergencies, etc).
- Develop HRBAP training for government officials.





## Recommendations to UNICEF

### UN coordination

- Link HRBAP and PRS.
- Link with Action 2:
  - Develop an interagency training module on HRBAP.
  - Encourage exchanges on HRBAP amongst UNCTs.
- Advocacy of HRBAP with other UN agencies.

### Learning and capacity building

- Devolve studies to regions.
- Prioritise intra-regional capacity building.
- Enhance follow up on feedback from studies concerning :
  - Use of HRBAP in humanitarian emergencies;
  - Contextual monitoring and evaluation;
  - Integrating women's rights into the programming;
  - Refining further the step-wise methodology.



## Looking Forward - 1

To make human rights programming more effective and sustainable, the following objectives should be pursued in relation to HRBAP:

1. More systematic implementation across UNICEF
2. More mainstreaming into the UN system
3. Integration of human rights with the PRS process

The evaluation covers mostly Objective 1. To achieve Objective 2, a dual-prong approach is probably appropriate:

- Work at undg level with all agencies
- Bilateral work with interested organisations (eg, UNDP, UNHCR, etc)



## Looking Forward - 2

To achieve **Objective 2:**

- ⇒ DFID and other donors should consider further support for HRBAP at other agencies (building on existing work),
- ⇒ Ensure consistency with overall UK Government UN reform objectives.

**Objective 3:**

- ⇒ Essential: PRSPs are increasingly widely used (although not universally).
- ⇒ Would address a conceptual shortcoming of PRSPs:
  - ⇒ Faith in economic growth to reduce poverty.
  - ⇒ Assumption that growth will resolve other concerns.
- ⇒ Would enhance legitimacy and effectiveness of PRSPs by integrating:
  - ⇒ human rights-based analysis.
  - ⇒ rights-based objectives.
  - ⇒ rights-based indicators.

