



Evaluability Assessment and Formative Evaluation of UNICEF Positioning to Achieve the Goals of the Strategic Plan 2022-2025

Inception Report

Prepared for // UNICEF

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Acronyms and Abbreviations

AAP	Accountability to Affected Populations
B4R	Business for Results
C4D	Communication for Development
CCC	The Core Commitments for Children in Humanitarian Action
CO	Country Office
COI	Conflict of Interest
COVID-19	Coronavirus Disease 2019
CPDs	Country Programme Documents
CS	Change Strategy
DAPM	Division of Data, Analytics, Planning, and Monitoring
DFAM	Division of Financial and Administrative Management
DFID	Department for International Development
DHR	Division of Human Resources
DoC	The Division of Communication
DRP	Division of Data, Research, and Policy
EA	Evaluability Assessment
EAFE	Evaluability Assessment and Formative Evaluation
EAPRO	East Asia and Pacific Regional Office
ECARO	Europe and Central Asia Regional Office
ECD	Early Childhood Development
EISI	Evidence Information Systems Integration
EMOPS	Office of Emergency Programmes
EO	Evaluation Office
ERB	Ethical Review Board
ERG	Evaluation Reference Group
ESARO	East and Southern Africa Regional Office
ESRC	Economic and Social Research Council
FCAS	Fragile and Conflict-Affected States
FGD	Focus Group Discussion
FGM	Female Genital Mutilation
GAP	Gender Action Plan
GBV	Gender-based Violence
GBViE	Gender-Based Violence in Emergencies

GEROS	Global Evaluation Reports Oversight System
GPECM	Global Programme to End Child Marriage
GPR	Gender Programme Review
GSSC	Global Shared Services Centre
HDN	Humanitarian-Development Nexus
HIC	High-Income Country
HQAR	Headquarters Divisional Annual Report
HSS	Health Systems Strengthening
ICT	Information and Communication Technology
ICTD	Information and Communication Technology Division
IFI	International Financial Institution
IRRF	Integrated Results and Resources Framework
KII	Key Informant Interview
KPI	Key Performance Indicator
LNOB	Leave No One Behind
LOE	Level of Effort
M&E	Monitoring and Evaluation
MEL	Monitoring, Evaluation and Learning
MENA	Middle East North Africa
MENARO	Middle East North Africa Regional Office
MHH	Menstrual Health and Hygiene
MOPAN	Multilateral Organisation Performance Assessment Network
MoRES	Monitoring Results for Equity System
MTR	Mid-Term Review
OGIP	The Office of Global Insight and Policy
OSEB	The Office of the Secretary of the Executive Board
PFP	Private Sector Fundraising and Partnerships
PPP	Programme Planning Process
PSEA	Prevention of Sexual Exploitation and Abuse
PSFR	Provision for Private Sector Fundraising
QCPR	Quadrennial Comprehensive Policy Review
RAM	Results Assessment Module
RBM	Results-Based Management
REAP	Rights, Education and Protection Programme
RO	Regional Office

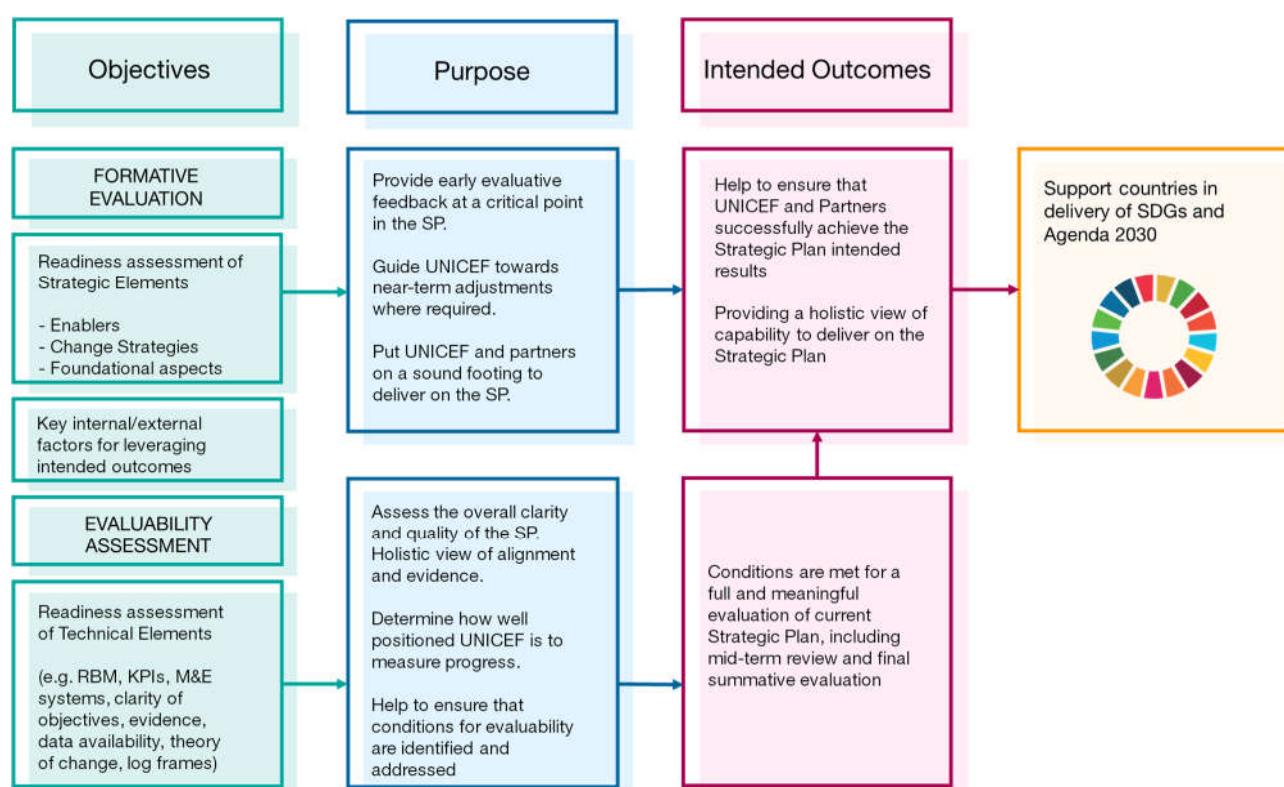
ROAR	Regional Office Annual Report
ROSA	Regional Office for South Asia
SAR	South-Asia Region
SBCC	Social and Behaviour Change
SDGs	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Relevant, Time-Bound
SP	Strategic Plan
SWAP	UN System-Wide Action Plan
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UNDS	United Nations Development System
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
USAID	US Agency for International Development
VFM	Value for Money
WASH	Water, Sanitation, and Hygiene
WCAR	West and Central Africa Region
WCARO	West and Central Africa Regional Office

1 Introduction

1.1 Understanding of the Assignment

1. UNICEF Strategic Plan (2022-2025) guides the organization's implementation of its mandates and mission of advocating for the protection of children's human rights, to meet their basic needs, and expand opportunities to reach their full potential. Building on lessons from the previous Strategic Plan (SP), the current SP includes a set of change strategies and enablers to help drive operationalization of the plan and its new areas of work.
2. As mentioned in the ToR, the timing of the Evaluability Assessment and Formative Evaluation (EAFE) is critical with UNICEF moving into the crucial first half of the Decade of Action towards the SDGs. The evaluation will determine the state of strategic and technical elements present in the organization and how well positioned they are in relation to organizational needs to realize the goals of the SP; and provide a baseline for future assessments when the SP is subject to mid-term review and evaluation.
3. Therefore, the intended outcomes of this evaluability assessment and formative evaluation are:
 - a) to help maximise the likelihood that UNICEF can achieve the results set out in the Strategic Plan, thereby supporting delivery of the SDGs and Agenda 2020
 - b) to help ensure that the SP can be fully and meaningfully evaluated.
4. To achieve these outcomes, the purpose of the EAFE is to identify any areas which are going well and any that require adjustments or course corrections, giving the organisation an early take on where any gaps may lie or any key factors perceived as high risks or "red flags", as UNICEF embarks on the Strategic Plan 2022-2025. This will allow UNICEF to plan and take corrective action while there is still time to implement any necessary adjustments to accelerate, scale up and adapt its path to achieving the Goal Area targets in support of the 2030 Agenda.
5. Equally important is helping the organisation to step back and look more holistically at UNICEF organisational capability to respond to the SP, both its elements and overall intent. This will be done by looking at underpinning or foundational aspects such as structure, incentives and culture and how well positioned UNICEF is to respond as well as by identifying the internal and external factors which are most important in determining UNICEF ability to leverage the change strategies and enablers set out in the SP to make the transition to a focus on outcomes.
6. Therefore, the EAFE will also aim to support the longer-term achievement of SP results. Actions taken in response to this exercise could later be assessed for their effectiveness during the mid-term review of the SP, and the full-scale summative evaluation of the SP planned for completion in 2024, with the intent of bringing stronger results and greater progress towards SDG targets. It will help maximize the likelihood that UNICEF, together with its partners, will succeed in achieving the results envisioned in the SP 2022-2025.
7. The actual assessment of UNICEF progress on delivering on the outcomes comes later and is not part of the EAFE. However, identifying how well UNICEF is positioned to achieve a focus on outcomes – and to measure such progress – is a key area to explore.
8. The purpose and objectives of the EAFE are summarised in Figure 1 below.

Figure 1: Purpose and Objectives of EAFE



9. To achieve the evaluation purpose, there are several overarching objectives, namely assessing the state of readiness of:
 - a) each of the strategic elements set out in the ToR (listed in tables 1 and 2 below)
 - b) each of the technical elements to assess the SP’s evaluability (listed in table 3 below).

10. **The EAFE’s first objective is to assess UNICEF’s readiness to implement the SP.** It will determine whether the Strategic Elements supporting the operationalization and implementation of the Strategic Plan 2022-2025 are in place and adequately positioned to help maximize the likelihood of success of UNICEF and its partners.

11. The strategic elements to be examined consist of the change strategies and enablers listed in Table 1 below. The ToR note that these should be complemented with a group of foundational aspects such as culture, roles, and accountabilities, which underpin success and help to provide the organizational ‘glue’ which brings things together. A non-exhaustive list based on the ToR is provided in Table 2.

Table 1: Strategic Elements – Change Strategies and Enablers

Change Strategies	Enablers
<ul style="list-style-type: none"> • Advocacy and Communications • Community Engagement, Social and Behaviour Change • Data, Research, Evaluation and Knowledge Management • Digital Transformation • Gender Transformative Programming • Innovations • Partnership and Engagement: Public and Private • Risk Informed Humanitarian and Development Nexus Programming • System Strengthening to Leave No One Behind 	<ul style="list-style-type: none"> • Accelerated Resource Mobilization • Agile and Responsive Business Model • Decentralized and Empowered Internal Governance and Oversight • Dynamic and Inclusive People and Culture (i.e., Human Resources Management) • Strategic Internal Communication and Staff Engagement

Table 2: Strategic Elements – Foundational Aspects

Foundational Aspects
<ul style="list-style-type: none"> • Organisational Culture • Structural and Governance Arrangements • Accountability Frameworks • Clarity of Roles and Responsibilities • Funding Adequacy and Predictability

12. **The EAFE's second objective is to assess the SP's evaluability.** It will conduct a more 'traditional' Evaluability Assessment – assessing the readiness of the SP to be evaluated and how well positioned UNICEF is to measure progress as the SP is implemented.
13. It will provide a comprehensive review of the key technical elements of UNICEF systems that underpin this (see table 3 below), including results-based management, adequacy and quality of data and SMART key performance indicators, the quality and resourcing of monitoring and evaluation systems, theory of change and the overall clarity and quality of the objectives as set out in the SP and supporting documents.

Table 3: Technical Elements

Technical Elements
<ul style="list-style-type: none"> • Clarity and Quality of the Strategic Plan and Objectives • Alignment and integration of M&E with the SP and with system wide goals • Theories of change in place and understood, SMART KPIs, M&E frameworks • RBM systems and principles in place, applied and socialised • M&E systems in place, adequacy, robustness, resourcing • Use of evidence to inform decision making, and adaptive M&E • Incorporating Children's Voices

1.1.1 Scope

1.1.1.1 Object of evaluation

14. The object of evaluation is UNICEF and the SP 2022-2025, specifically UNICEF organizational readiness, capacity, and positioning to achieve the SP.
15. The EAFE's temporal focus is on UNICEF and the SP in 2022, looking forward to the SP's end in 2025 and where possible onward to 2030. It may refer to lessons learned from implementation of the SP 2018-21. Its geographic focus is on UNICEF as a whole organization, recognizing that the enablers and change strategies are corporate responsibilities.
16. The EAFE's thematic focus is on the most important elements of the SP 2022-25 necessary for implementing it and achieving results. Most notably the EAFE will focus on the SP's identified organizational performance enablers and change strategies, but it will consider other elements in the SP, such as principles and cross-cutting programmes. It will focus on the most critical assumptions that underpin the SP 2022-25 within UNICEF's control and accountability.
17. The present exercise is formative and is happening relatively early in the current SP, so it will not attempt to provide a summative assessment, look at outcomes, or progress towards goals and SDG targets. The summative evaluation of the Strategic Plan 2022-2025 in 2024 as reflected in the Global Evaluation Plan will focus on this. Rather, the EAFE will seek to identify 'red flags' where UNICEF needs to pay urgent attention to key factors early on, as well as obvious strengths to build on ('green flags').
18. While the scope of the evaluation is very much focused on the change strategies and enablers, cross-cutting programmes, and evaluability, an important aspect of the EAFE will be to look at the connections and linkages forwards and backwards and vertically between the different levels and how things come together in practice. One of the motivations of the present SP is to ensure that UNICEF can, through its outputs, advocacy and influence, contribute to intended outcomes at the level of SDGs for children, helping to drive change locally and globally in line with its mandate. This means considering carefully how UNICEF can gain traction at the operational level to deliver on the ambitious global vision which the SP represents. The deep dives – which are intended to be case studies of important strategic issues affecting UNICEF positioning to deliver on the SP - will be an opportunity to consider these issues.
 - One example of this is understanding how planning at the country level in the most current country planning documents are aligned with the commitments in the SP. The SP commitments are both ambitious and strongly aspirational. Therefore, it will be key to examine how far SP commitments are carried through in practice. The EAFE will explore strengths and challenges between the global vision and the realities of implementation in such a large organisation, recognising that UNICEF is highly decentralised and also driven by decisions at the country level.
 - A second example is the need to look at interactions, interdependencies and connections between the many change strategies, enablers and goal areas set out in the SP i.e., going beyond simply looking at the readiness of each of the elements and goal areas individually and separately. Some of them overlap or are being driven by teams working on several aspects - or are cross cutting.
 - A third example is considering those enablers and foundational aspects which underpin other areas and permeate across the organisation, such as culture of the organisation, the way people work within the hierarchy in a such large organisation,

the business model, the extent of decentralisation and how far the business model is aligned to the SP.

- A fourth aspect is recognising that this is more than a technical evaluability assessment and while the readiness of the M&E systems is a key question, the connection of those systems into how the organisation learns and works, and how it uses data for decision making and other change strategies is key. A related issue is how theories of change are operationalised and used in practice. Going beyond the documents into the realities of what is changing, are they well understood and are they being implemented?

1.1.2 Intended Users/Audience

19. The primary audience is the UNICEF Executive Board, senior managers and staff leading on the implementation of the SP, Regional and Country offices as well as key decision makers in UNICEF partners (e.g., national governments, UN agencies, IFIs, private sector, and implementing partners).

1.1.3 Structure of this Report

20. The rest of this report is structured as follows:

- The remainder of Section 1 summarizes the main elements of the Strategic Plan, its context, theory of change, and results framework as well as a summary of the initial themes from the first stage of documentary review (around 50 documents) and key informant interviews (10 interviews with senior managers).
- Section 2 explains the conceptual approach and methodology, building on the evaluation questions in the ToR, unpacking the questions and relating them to readiness assessment criteria and templates. This section also sets out the sources of evidence and analytical tools which will be used in the main phase. It then sets out how the deliverables will be met and quality assured, mechanisms for stakeholder feedback, and limitations.
- Section 3 sets out the workplan and allocation of time and days for the assignment and the timing of key deliverables.
- Section 4 provide details on how the work will be managed, including risk mitigation, organization of the team, ethical considerations, and data management.

1.2 The Strategic Plan

1.2.1 Summary Description of the Evaluand, Evolution, and Key Features

21. UNICEF is a United Nations organization with its headquarters in New York, and corporate offices in Geneva, Copenhagen, Florence, Budapest, Brussels, Tokyo and Seoul. It is a highly decentralised organization, active in more than 190 countries, with seven regional offices (ROs) providing oversight and technical assistance to country offices (COs) who lead the organization's collaboration with host governments. UNICEF is also supported by 33 national committees who advocate for the organization worldwide. In 2020, the total staff count was 15,745 individuals, 70% of whom were national staff. In 2020, UNICEF's total income from the public and private sectors reached USD 7.6 billion, an 18% increase from 2019, most of which was earmarked funding for

responding to the COVID-19 pandemic. UNICEF's total expenses amounted to USD 5.7 billion in 2020, out of which 57% was humanitarian expense.¹

22. The EAFE focuses broadly on the UNICEF Strategic Plan, 2022-2025. This was approved by the Executive Board in September 2021 following a 2-year process of deliberation which included extensive consultation with children and other UNICEF stakeholders across the world. The SP presents a 'strategic approach' to realizing the rights of every child, focused on 'driving sustainable change to make a measurable difference in children's lives throughout the Decade of Action and beyond'. Building on the previous Strategic Plan, 2018–2021, UNICEF will continue work to achieve long-term results in five interconnected Goal Areas. The SP aims 'to ensure that in all contexts, including humanitarian crises and fragile settings, every child, including adolescents ...'

- Goal Area 1: ... **survives and thrives** with access to nutritious diets, quality primary health care, nurturing practices, and essential supplies
- Goal Area 2: ... **learns** and acquires skills for the future
- Goal Area 3: ... **is protected** from violence, exploitation, abuse, neglect, and harmful practices
- Goal Area 4: ... has access to safe and equitable WASH services and supplies, and lives in a safe and sustainable climate and **environment**
- Goal Area 5: ... has access to inclusive **social protection** and lives free from poverty

23. The SP is presented as the second of three consecutive plans until 2030. It intends to 'chart[s] a course towards inclusive recovery from the impact of the COVID-19 pandemic, attainment of the Sustainable Development Goals, and the realization of a society in which every child is included and has agency, opportunity, and their rights fulfilled.' It claims to set out measurable results for children, especially the most excluded including in humanitarian crises and fragile situations and defines the change strategies and enablers that support their achievement.

24. The SP is a bold statement of renewed ambition to achieve SDGs for children by 2030. It claims to be 'geared towards seizing development opportunities amid crisis and uncertainty, to reimagine responses and galvanize the meaningful change that is needed.' With a view to accelerating achievement of SDGs, the SP focuses on 'driving sustainable change to make a measurable difference in children's lives' and will focus on 'systemic changes' needed to achieve the five goals, now recognized as interconnected, not exclusive linear endeavours. To such ends, the SP aims to shift UNICEF partnership focus beyond 'what it can do alone', towards using its mandate to mobilize other actors to maximize collective impact. It will also require developing capacity to track 'systemic outcome-level changes' through a revised approach to results-based management.

1.2.1.1 Background

25. During the 2000s and 2010s, UNICEF sought to focus its global efforts in a more strategic manner, and from 2005 onwards began implementing corporate strategic plans. In 2017, it prepared the UNICEF Strategic Plan 2018-2021 which described results to be achieved (the WHAT), the groups of children to be reached (the WHO), the change strategies necessary for the achievement of results (the HOW); and the internal factors that support the change strategies and the achievement of results (the ENABLERS).² It also prepared a results framework which included more than 75 measurable indicators with baselines,

¹ MOPAN (2021), MOPAN Assessment Report United Nations Children's Fund

² UNICEF (2017), UNICEF Strategic Plan, 2018 2021

milestones, target values, and means of verification for each change strategy and enabler. In 2020, a midterm review of the SP 2018–2021³ assessed progress on the various implementation strategies and enablers under the heading 'management.' UNICEF also added a fifth “enabler” on organizational culture to its Strategic Plan to institutionalize accountability.

26. In 2020, an evaluation of the SP 2018–21 found it was highly relevant and strongly aligned with the UNICEF mission, the Convention on the Rights of the Child and the Sustainable Development Goals.⁴ Its change strategies were considered a particularly important innovation but it also noted the SP’s imbalance in emphasis between the Goal Areas (the “what”) and the change strategies and enablers (the “how”). It recommended that UNICEF place equal emphasis on measuring change strategies and enablers alongside programme results and, for the purposes of monitoring and learning, to do this in a manner that feeds back into the organization, to strengthen its agility to respond to emerging threats to children, in coordination with other United Nations agencies.

1.2.1.2 Change Strategies

27. The EAFE focuses on UNICEF change strategies. The SP presents nine change strategies which it considers key to accelerating progress towards achievement of the Sustainable Development Goals and realizing children’s rights. While the SP does not clearly define what is meant by a ‘change strategy’, they are understood by the evaluation team to support the achievement of measurable results for children and as the drivers to accelerating achievement of SDGs and realizing children’s rights. The ToC describes them as the ‘operational strategies’ that UNICEF will prioritize during the period of this Strategic Plan to support the achievement of development results, selected for their potentially ‘game-changing’ impact.

1.2.1.3 Performance Enablers

28. The EAFE also focuses specifically on UNICEF organizational performance enablers. The SP presents five organizational performance ‘enablers’, through which it aims to become ‘a more agile, values-based, effective and efficient organization that can respond effectively to change and uncertainty’. According to the ToC, these organizational performance enablers are ‘the organizational structures, systems, resources, and assets’ that UNICEF will continuously invest in to become a more agile, values-based, effective and efficient organization that can effectively respond to change and uncertainty.
29. Closely related to the enablers are the ‘foundational aspects’ already noted above, such as culture, incentives and organisational structures and how they affect the realisation of the SP. These are not featured in the SP itself but are important areas to cover as set out in the terms of reference for the EAFE. As agreed with the Evaluation Office, these foundational aspects will be considered through the performance enablers and change strategies (rather than their readiness being assessed directly), as there is some overlap. They will also be considered for the analysis at the more overarching level when looking overall at how well positioned UNICEF is to deliver on the SP in a holistic sense.

³ UNICEF (2020), Report on the midterm review of the UNICEF Strategic Plan, 2018–2021 and annual report for 2019 of the Executive Director of UNICEF

⁴ UNICEF (2020), Evaluation of the UNICEF Strategic Plan, 2018–2021

1.2.1.4 Cross Cutting Programmes

30. The SP also presents five cross-cutting programmes, identified by UNICEF as pivotal to achieving the results set out in the SP 2022-25: Climate Action, Disability, Gender, Peacebuilding and Resilience. UNICEF recognise that addressing these areas requires multisectoral action.
31. A question to explore in looking at these cross-cutting programmes is where they sit in relation to the goal areas. It appears, but this needs to be tested, that they are ‘in between’ the level of change strategies on the one hand and achieving the ultimate goal areas and intended results for beneficiary populations on the other hand. Our understanding of the intent is that they should also permeate everything that UNICEF is working on. What is clear is that they are very important part of delivering on the SP as a whole, and as such need to be directly considered by the EAFE.

1.2.2 Theory of Change

32. A high-level Theory of Change sits behind and complements the SP, detailing the theories of change that underpin the plan and explaining how actions by UNICEF and its partners at country, regional and global levels is expected to lead to impact for children.⁵
33. The theory of change has four expressed purposes, including: providing an analytical logic; a framework for accountability and learning; a structure for the Goal Area-specific theories of change and for the SP; and to communicate the SP in an accessible manner.
34. UNICEF defines each structural element of the SP and sets-out clearly how these elements relate to each other, to the Goal Area theories of change, and to the Results Framework against which UNICEF measures progress against the Strategic Plan.

Figure 2: UNICEF High-Level Theory of Change



35. In the ToC presented above, the causal logic of **five enablers** and **nine change strategies** leading to a **set of medium-term changes** is set out. These medium-term changes, in turn, contribute to **long-term results across the five Goal Areas**, which contribute to the envisioned **impact**.
36. The theories of change for each of the five Goal Areas, likewise, set out the causal logic to impact; explaining how UNICEF applies its priority operational strategies and works to

⁵ UNICEF/2021/EB/10, Theory of Change, UNICEF Strategic Plan, 2022–2025

improve its organizational effectiveness to deliver medium-term changes at the country level, and how these changes contribute to long-term results that, in turn, advance impact. The theories of change also articulate the principles underlying the Strategic Plan, and identify the assumptions and risks that frame it, as well as the critical partnerships through which UNICEF aims to carry it out.

37. A key issue to consider as part of evaluability will be the extent to which theories of change already developed are fit for purpose (ie. do they contain the relevant content, such as on the cross-cutting issues, are they sensitive to major program contexts and are adapted to them etc) and are they being understood, used, and operationalized by UNICEF staff.

1.2.3 Results Framework

38. The Goal Area theories of change use the logic of the high-level theory of change to describe how UNICEF will effect change in each Goal Area, specifying *what* results will be delivered, and *how* they will be delivered. The corresponding results and indicators, which track whether change is happening as anticipated, shape the Results Framework of the Strategic Plan.
39. The Results Framework follows the logic of the United Nations Sustainable Development Group Results-based Management Handbook, which calls for three levels of results – impact, outcome, and output. How these three levels relate to the different elements of the high-level theory of change is described in detail in the ToC documentation. The Results Framework is also based on theories of change that UNICEF has developed as the intellectual and conceptual foundation for the Strategic Plan. The medium-term results in the high-level theory of change have informed the development of many of the indicators in the Goal Area theories of change and in the Results Framework and are presented in the Integrated Results and Resources Framework.
40. UNICEF express⁶ that indicators are selected as a useful measure for managing progress in relation to linked results rather than being bound by a rigid causal chain, allowing it to see where the organization is making a difference. The Results Framework does not contain all the indicators used by UNICEF to manage performance at the country level. Rather, a set of core indicators that show outcome-level change and that support the demonstration of the UNICEF contribution and accountability has been included.

1.3 Emerging Issues from the Inception Phase

1.3.1 Key Issues from Document Review & Initial Inception Interviews

41. As part of the inception phase, the Evaluation Team conducted an initial review of 67 documents, marked as high and medium priority by the UNICEF EO, as well as nine inception interviews with DPAM as the division responsible for drafting the Strategic Plan at UNICEF HQ, four regional offices and one country office. This process provided preliminary insights (noting the limited number of interviews conducted so far) into the development and progression of the strategic and technical elements as set out in the ToR as well as into emerging substantive issues that merit further exploration. The following sections map out the key issues identified through this initial phase, which will be explored in greater depth during the data collection phase. These are not a definitive list of the issues to be explored in the review as these will be assessed alongside the

⁶ UNICEF Integrated Results and Resources Framework para 7.

other readiness criteria for each of the strategic and technical elements. The in-depth document review and the bulk of interviews will be completed in the data collection phase, allowing for a more detailed analysis to inform decision-making on the key issues to focus on, which at this point will be agreed with the Reference Group. A more detailed document review with broader coverage of the strategic and technical elements and cross-cutting issues is available in Annex 1. A more detailed analysis will be developed during the data collection phase and decision will be made on the issues to focus on together with the Reference Group.

1.3.1.1 Change Strategies

42. From the document review, the following insights on the change strategies have been captured:
43. **Advocacy** is a critical enabler of results and UNICEF has achieved some key outcomes and developed a range of internal advocacy initiatives. Key issues for this assignment include identifying whether UNICEF advocacy objectives and global advocacy priorities (Vaccines, Education, Mental Health, and Water and Climate) are aligned with the resources available, whether the processes for priority selection are robust and based on strong evidence and analysis, and whether there is the technical capacity, resources, partnerships, leadership and underlying organisational capabilities to deliver. This will be explored alongside other components of this change strategy.
44. **Community Engagement, Social and Behaviour Change** is an essential part of UNICEF 2022-25 SP, especially given the backslide in progress in harmful practices and unsafe and unhealthy environments during the COVID-19 pandemic. However, the documentary evidence highlighted that UNICEF lacked adequate indicators on Communication for Development (C4D) during the 2018-21 strategic period, existing indicators showed that results were lagging and there was a lack of engagement with beneficiaries in the planning, implementation, and monitoring and evaluation of programmes. The approaches and technical implemented capacities alongside the positioning, resources, and partnerships to address these issues will be key to examine in this evaluation, alongside other components of this change strategy.
45. The document review highlights that **data, research, evaluation, and knowledge management** have been set as important change strategies by UNICEF to link up and downstream work, led by the Division of Data, Analytics, Planning & Monitoring (DAPM), Office of Research – Innocenti, the Evaluation Office and the Office of Global Insight and Policy (OGIP) and supported by useful tools, guidance, and learning materials.
46. However, the documents note several key issues including a lack of analytical evidence for Country Office decision-making, HQ bearing little influence on advancing the use of research to inform programming or facilitating research partnerships, and a lack of clarity on the meaning of data, research, evaluation, and knowledge management as an integrated function.
47. There is also the remaining issue of coordination. This led the 2020 MOPAN assessment to state that UNICEF evidence system is fragmented and thus lacking in utility for country offices. It will be of interest in this evaluation to also examine if UNICEF are making progress in aligning the evidence functions to offer evidence and data that is more coherent and accessible, especially at country office level, alongside other components of this change strategy.
48. The COVID-19 pandemic accelerated UNICEF uptake of **digital technologies**, led by the Information and Communication Technology Division (ICTD) and the SP 2022-25 is set to continue this progress with Digital Transformation set as a change strategy. This shift does mean that UNICEF needs to balance several demands including adoption and

adherence to the eight key Areas of Action from the UN Secretary General's High-level Panel for Digital Cooperation as well as analysis of trade-offs between value add, at scale delivery, efficiency gains and potential for unintended consequences or misuse. Therefore, it will be key in this evaluation to examine the measures that UNICEF is putting in place to build enabling and safe digital environments and the capacities to analyse these trade-offs alongside other components of this change strategy.

49. As part of the SP 2022-25 UNICEF is working towards implementing **gender transformative approaches** across the organisation. A key issue highlighted in several of the documents was that gender was often found to have insufficient resourcing and attention in UNICEF humanitarian programming, with similar also found in UNICEF COVID-19 emergency response. The document review also highlighted that UNICEF needs to examine its internal approach and processes to gender equality if it is to make organisation-wide progress on implementing gender transformative approaches. Key in assessing this in this evaluation will be examining whether UNICEF followed the recommendations of the 2019 evaluation of the gender action plan, committing the tools and resources required to continue building the capacity and understanding to implement gender transformative approaches in all contexts, as set out in the management response to the evaluation alongside other components of this change strategy.
50. **Innovation** is posited as pivotal in UNICEF attempts to scale solutions and achieve catalytic results. However, it was found that innovation within UNICEF is still hampered by aspects of the organisation's culture, structure, and systems. It will be of interest to explore how UNICEF numerous new initiatives are addressing these issues, including the establishment of the Office for Innovation and the Innovation Fund, as well as the launch of the Global Innovation Strategy alongside other components of this change strategy.
51. UNICEF has a well-established portfolio of **public and private sector partnerships** and has steadily increased private sector regular resources. UNICEF continues to prioritise the development of private sector partnerships and regular resources and has implemented a Business for Results (B4R) agenda: a process aimed at strengthening UNICEF culture and capacity for private sector engagement, particularly in regions with less mature market conditions. The 2021 readiness assessment of business for results found that positioning was a strong point, partnerships with business and chamber of commerce were progressing whilst technical capacities and government partnerships were still a work in progress with resourcing the weak point of the agenda. It will be of interest in this evaluation to examine how this initiative has built upon the findings of the readiness assessment, as well as how UNICEF has continued to develop its approach to national partner capacity strengthening alongside other components of this change strategy.
52. UNICEF has placed **risk-informed humanitarian-development nexus programming** as a central element of the 2022-25 SP and is seeking to better integrate long-term risk assessment, preparedness and capacity-building into humanitarian responses, and elements of emergency preparedness and response into development programmes. As part of this, UNICEF has promoted institutional change on design and delivery of programmes supported by the institutional accountability framework. This will be a key area to examine in this evaluation, assessing to what extent UNICEF has integrated recommendations from the 2021 formative evaluation on UNICEF nexus work on improving implementation at country level through nexus systems, policy, approaches and contextualisation and whether the organisation are achieving a strong balance between emergency capacities and nexus approaches alongside other components of this change strategy.

53. The document review highlighted that UNICEF needs to reinforce and further systematize its efforts to **leave no one behind (LNOB)** by more consistently striking the right balance between greater coverage and reaching the most vulnerable and providing greater conceptual clarity, supported by tools and approaches. Previous MOPAN reports highlight also this, pointing towards the durability of the issue. A key issue will be the extent to which UNICEF strategy priority of systems strengthening to LNOB is addressing these lessons and whether the organisation has achieved progress in providing disaggregated data to track LNOB efforts alongside other components of this change strategy.

54. In addition, preliminary inception interviews have highlighted the following elements with regards to the change strategies:

- The need for a consistent, harmonized, and bottom-up approach to advocacy and the essential role of HQ in supporting field offices with communication assets;
- The need to bring together and better leverage the various strands of knowledge management, while putting a greater emphasis on unpacking concepts and supporting ROs and COs in operationalizing existing guidance based on lessons learnt and best practices;
- UNICEF's strength in the area of public-private partnerships and the necessary adoption of a broader vision of partnerships, i.e., with a focus on governments, other UN agencies, etc.;
- A question mark on the strategic positioning of UNICEF in the UN system at both HQ and in the field, including alignment of UNICEF strategic planning with the wider UN priorities and the reform agenda ('need to go with unified priorities and work at scale');
- An urge to be bolder on the gender transformative approach (both a change strategy and cross-cutting programme) and better link it to the work on community engagement and social norms; the continued lack of conceptual clarity on what gender transformative programming concretely means; the suggestion to consider gender as a case in point to examine how enablers and change strategies relate to each other, looking at resource mobilization, human resources etc.;
- The need to institutionalize innovation as a critical change strategy and to bring it to scale so that even small country offices can benefit from it.; The current structure of the organization and mindset/organizational culture were identified as risks that may lead to innovation happening in parallel to programming;
- The need to approach systems strengthening in a more holistic way, being aware of the implications of addressing one issue for the broader ecosystem and willing to address governance issues when partnering with national governments; (i.e. context sensitivity and risk-management are at the heart of technical assistance).

1.3.1.2 Enablers

55. The following issues have emerged from the initial document review:

56. UNICEF, like other UN agencies, is experiencing declining regular resources despite some growth in its overall financial resources in the previous strategic period. In response, UNICEF is placing a focus on **resource mobilisation** from a range of sources and has also set aside a budgetary provision for private sector fundraising. It will be key in this evaluation to examine to what extent this has been implemented alongside other components of this enabler.

57. UNICEF has been on a journey to implement an **agile and responsive business model** for the last 12 years, implementing a host of changes in its organisational structure and

processes, including the establishment of the Global Shared Services Centre in 2016. Recent assessments have found that these changes have further embedded and capitalized upon UNICEF highly decentralised structure, efficient business model, and ability to adapt in the field. However, as the SP has evolved, UNICEF vertical hierarchy has been found to no longer align with the organisation's ambitions on technology and cross-sector working. Key in this evaluation will be examining to what extent the Reimagining Business Models Project goes towards addressing this issue as well as developments in in other areas including: the maintenance of all UNICEF country and regional offices; the maintenance of internal technical and administrative hubs; the combined private public fundraising apparatus; the decentralization of functions out of the HQ core; and the application of business processes to country offices alongside other components of this enabler.

58. UNICEF **accountability** standards and risk management were shown to meet the highest standards in the documents, particularly the 2020 MOPAN assessment. The organisation is already highly decentralised and current change initiatives continue to build upon this, seeking to make UNICEF a more nimble and agile organization, able to make decisions closer to country programmes (CPs) with more streamlined processes and systems across the organisation. It will be of interest in this evaluation as to how UNICEF is attempting to improve agility, including delivery on the statements laid out in the SP that UNICEF will simplify and automate operational, programming and partnership processes and systems whilst achieving balance between decentralisation and working towards common goals at the global level, alongside other components of this enabler.
59. UNICEF is undertaking efforts to instil a **positive working culture** including repositioning the human resources function to be more people-centred, a new competency framework, and increased training and opportunities for professional development. It will be key to examine the extent to which these initiatives are delivering upon the SP focus on developing a skilled, motivated, agile, and empowered workforce alongside other components of this enabler.
60. The document review highlighted a range of initiatives underway to improve UNICEF strategic internal **communication and staff engagement**, headed by the Organisational Culture Team in OED, the Division of Human Resources (DHR) and the Internal Communications team from the Division of Global Advocacy and communication. However, it was recognised that there was a need to accelerate these initiatives and that the lack of an internal communication strategy risked some of the key messages from HQ not being disseminated across the whole organisation. Key in this evaluation will be examining how the UNICEF Global Internal Communication And Staff Engagement Strategy 2020–2030 and whether there are any cultural or technological barriers to improved internal communications alongside other components of this enabler.
61. The salient points gathered from initial inception interviews on organizational performance enablers and other foundational aspects brought out the following insights:
62. **Strategic resource mobilization is linked to the required shift to a focus on outcomes**, which implies shifting to thematic funding for goal areas or cross-cutting programs and moving away from earmarked extrabudgetary funding; this could also be complemented by program effectiveness reviews.
63. A strong suggestion to look at the **decentralized business model**, examining the alignment of decision-making made closer to beneficiaries on the one hand, and coherence and accountability of the organization as-a-whole, on the other hand; in other words, assessing how best to have a whole-of-organization approach in a decentralized model, including looking at the role of regional offices.

64. The need to examine the interlinkages between the **structure of the organization**, in particular the heavy director-level structure at Headquarters, and the **accountability, governance and oversight framework**, and how it impacts the work of the organization, noting that risk-mitigation should also be strongly linked to internal governance and oversight.
65. Related to the previous point is the suggestion to assess how the **hierarchical organizational structure** relate to organizational culture and mindsets, including looking at better leveraging the work and knowledge of staff lower in the hierarchical structure.
66. Staff well-being is a core component of a high-performing organization but has yet to be prioritized; staff engagement and internal communications remain limited despite recent efforts and are very top-down in nature; interviews pointed to the need for an entirely different **approach to human resources** is required, with learning and development, talent acquisition, and field support-oriented HR at the forefront.
67. **Change management** has yet to be well articulated and will require building upon more consultative and less top-down processes to ensure staff buy-in and ownership.
68. Of note, some interviewees have highlighted a clear understanding of change strategies, but less guidance on and understanding of the enablers.
69. A recurring theme that came across strongly in preliminary inception interviews is the strive to be more **holistic through cross-sectoral approaches and joint programming**, given that the drivers of child well-being are interconnected and the multi-layered socio, political and economic patterns of discrimination that affect children need to be addressed. While the new Strategic Plan is perceived as a mindset shift in that direction, interviewees expressed doubts that the organizational performance enablers and other foundational aspects are in place to support the various pillars of the organization to work in a multiplicative way. The mindset and enablers of the organization were described as very rigid, leaving little room to do things differently.

1.3.1.3 Technical Elements

70. The following key points on the technical elements were highlighted by the initial document review:
71. The evaluation of the 2018-21 UNICEF Strategic Plan highlighted that the SP was well regarded, serving as a framework and a guiding document as well as a common narrative for the organisation for accountability and results reporting purposes. It will be of interest in this evaluation to examine how UNICEF have built on the strengths of the previous SP to provide an organisational framework that provides a more holistic, longer-term outlook, serving as the basis for the organisation to implement the change strategies and enablers mapped out in the SP 2022-25.
72. Several key recommendations from the evaluation of the UNICEF SP 2018-21 included placing emphasis on measuring change strategies and enablers alongside programme results and strengthening outcome-level reporting. UNICEF's response to this in the current SP 2022-25 period will be key to examine in this review, in assessing the alignment and integration of UNICEF M&E with the SP and with system wide goals including the SDGs.
73. UNICEF ToCs were shown to be a solid framework for understanding the organisation's performance in the documents, with uptake and use of ToCs consistent across the organisation. Key in this assignment will be examining the progress on inclusion of cross-cutting issues in ToCs, the shift to the focus on systemic change, and the measures put in place to support the adaptation and refinement of ToCs throughout the strategic plan period. In addition, the evaluation will examine how well understood the organisational ToC is and how it is used throughout UNICEF to align KPIs and M&E Frameworks.

74. UNICEF is considered a leader on RBM among UN agencies at HQ level and at Country level with the RBM system implemented in recent years providing a strong framework for the adherence to RBM standards throughout the organisation. However, the SP 2022-25 is seeking to address several RBM-related issues highlighted in recent evaluations and reviews, including an overly mechanistic approach to RBM, an outputs and donor orientation in the system, and a lack of utility for country offices despite their monitoring efforts. In addition, UNICEF is adopting a revised 'Rights and Results Based Management' approach. It will be of interest in this review to examine UNICEF's progress on implementing longer-term planning horizons, improving utility of the RBM system as well as exploring whether UNICEF have implemented a longer-term focus on evidence planning to accompany this. This includes working to identify the evidence and data needs and how different functions are going to contribute to these needs related to SP goal areas and cross-cutting issues coherently.
75. Although the documentation shows that UNICEF M&E Framework, the integrated results and resources framework (IRRF), is comprehensive with clear links running through the organisation, there were several key issues highlighted. UNICEF is not adequately capturing outcome and impact-level results, particularly those achieved through joint or multisectoral programming. In addition, the documentation shows that the M&E framework is not yet capturing adequate evidence on environmental sustainability or climate change and that the organisation needs more specific focus on nexus approaches to track progress in this area.
76. It is made clear in the SP 2022-25 that UNICEF is seeking to develop an M&E system better geared towards timely evidence for adaptation. This is in direct response findings in the last strategic period that the reporting system was heavy and was not incentivizing learning and information exchange. UNICEF has and continues to implement a raft of approaches and tools to streamline the system and provide greater utility to country offices. It will be of interest in this assignment the extent to which these changes have been implemented across the organisation. The documentation highlights a strong and continually improving evaluation function. The issue remains with the uptake and use of evaluation evidence and lessons with the documents showing that evaluation lessons are not integrated into CPDs and do not inform resource allocation on a systematic basis.
77. Although documentation shows that UNICEF does have procedures in place to support accountability to affected populations, recent assessments highlight that there are still weaknesses in UNICEF approaches to community engagement and feedback mechanisms, particularly in planning, advocacy, and programme implementation, as well as in the organisation's humanitarian programming. It will be of interest to examine if UNICEF has measures in place to improve these processes as well as whether UNICEF are advocating and advising on accountability to affected populations and related terms like Social Accountability across the full spectrum of partner and government activities.
78. While initial inception interviews have mostly focused on Strategic Elements, the following points on Technical Elements were made:
- A continued need for better data on gender;
 - The need to better quantify private sector engagement;
 - The tension between the need for evidence-based decision-making and programming and the space for initiative;

- The positive shift of a greater focus on outcomes to ‘take to scale’ and the readiness to move away from RBM and projectized way of working, as too much time is spent on compliance requirements and inward-looking processes.
- The need to look at contribution rather than attribution to measure progress, even if it is a more difficult task given the multitude of actors; this also reflects the tension between direct implementation and modelling for partners
- The importance of finding a way to better support data gathering by governments, not only through expensive data collection systems.

1.3.1.4 Cross-Sectoral Programmes and other Cross-Cutting Issues

79. Climate Action, Disability, Gender, Peacebuilding and Resilience are the five cross-cutting programmes identified by UNICEF as pivotal to achieving the results set out in the SP 2022-25, with UNICEF recognising that addressing those areas requires multisectoral action. This evaluation will assess the readiness status for each cross-sectoral programme of the SP whilst also capturing the linkages of those programmes, as well as other cross-cutting issues, with the Strategic and Technical Elements. Other cross-cutting areas to be considered but not assessed include adolescents (long-standing focus of UNICEF), COVID-19/pandemic preparedness and response, migration, humanitarian action, the SDG agenda or UN reforms. Some of the deep dives may also relate or draw from one or several cross-cutting areas of intervention.
80. The documentary evidence suggests that UNICEF made significant improvements in addressing humanitarian action and gender equality priorities during the 2018-21 SP implementation. Likewise, the recent 2020 MOPAN assessment of UNICEF rated the organization as satisfactory for cross-cutting issues, looking specifically at gender equality, environment, and human rights. Specifically, it found that UNICEF has mainstreamed gender equality into its strategic plan and its programming is increasingly gender responsive although the 2019 GAP evaluation found that UNICEF could improve the ambition and institutional ownership of the GAP and that broader organisational capacity on gender could also be improved. With regards to environmental sustainability and climate change however, the MOPAN assessment found that, while those issues are reflected in UNICEF Strategic Plan, together with human rights and equity, these are areas that could be further mainstreamed or applied in practice.
81. Climate Resilience and Peacebuilding featured quite prominently in initial inception interviews and will require more data collection. Some interviewees pointed to the need for more clarity on what it means concretely to operationalize climate resilience in existing programming. On peacebuilding, a salient point was the continued reluctance to position UNICEF into that space despite clear language in the Strategic Plan and the fact that the organization’s work in fragile settings and on systems’ strengthening contribute to peacebuilding. As a result, the triple nexus approach has focused on the double nexus humanitarian-development, with conceptual and operational implications to be explored.

1.4 Any Changes in Scope/Focus Compared with ToRs

82. The ToRs have provided a comprehensive basis upon which the team has developed its conceptual and methodological approach. Upon a series of conversations with the EO, there are no major departures from the ToR in terms of key evaluation questions,

methods, and tools to gather data and conduct analysis. The main changes will be around the number of countries and the narrowing of the scope for the deep dives, which will now focus on interrogating new and emerging evidence, and a focus on features relevant to answering the evaluation questions.

2 Methodology

2.1 Evaluation Principles, Matrix, Questions, and Sources of Information

2.1.1.1 Key principles of our approach and evaluation questions

83. **The EAFE will be guided by the ToR's evaluation questions.** We understand the evaluation questions have been developed by the EO and believe their embedded propositions can be taken as the basis for judgments. To that end, our focus will be on adding technical inputs to enable this. We have included an additional fourth question that serves a learning purpose, to help identify initial evidence that the optimization of strategic and technical elements and their interlinkages support achievement of the SP objectives.
84. **The EAFE will assess 'to what extent' and explore 'how' and 'why'.** All questions in the ToR ask to what extent, requiring a rating or measurement. We will address this through evaluative judgments, made transparently compared to a scale. However, to serve organizational learning and generate evidence, this evaluation is not a measurement exercise based on data and indicators, but rather an evidence-based exploration of the readiness to achieve ambitious SP results, including an understanding of causal factors and contributions to outcomes and impact.
85. **The formative assessment will assess the readiness of the change strategies and enablers (and through them, also cover the foundational aspects) in EQ1.** The question and sub-questions on the strategic elements are about their 'readiness' to support implementation of the SP. Readiness refers to UNICEF's current ability to implement the SP and achieve intended results. Readiness is closely related to organizational effectiveness, defined as the extent to which an organization achieved, or is expected to achieve, its objectives and its results, including any differential results across groups.⁷ The concept of organizational readiness is applied in the health sector and considered a critical precursor to the successful implementation of complex changes, whereas insufficient readiness is cited as a reason for half of all unsuccessful, large-scale organizational change efforts.⁸
86. **The evaluability of the SP will be assessed in EQ2.** The question and sub-questions on the technical elements are about the 'evaluability' of the SP. Evaluability refers to the extent to which the SP can be evaluated in a reliable and credible fashion.⁹ An evaluability assessment is usually carried out at an early stage to ensure a proposed activity's objectives are adequately defined and its results verifiable. It implies verifying that the intent of the subject to be evaluated is clear, that sufficient data are available or

⁷ Adapted from OECD/DAC Network on Development Evaluation (2019), Better Criteria for Better Evaluation, Revised Evaluation Criteria Definitions and Principles for Use

⁸ Weiner, B.J. A theory of organizational readiness for change. *Implementation Sci* 4, 67 (2009).

<https://doi.org/10.1186/1748-5908-4-67>

⁹ OECD DAC, Glossary of Key Terms in Evaluation and Results Based Management

collectable at a reasonable cost, and that no major factors will hinder any future evaluation process.¹⁰

87. **The Evaluability Assessment will also be applied holistically to the SP.** It will look at the mechanics of RBM and results measurements, in addition to monitoring and reporting on how efficiently and effectively it delivers on its own outputs'.¹¹
88. **The formative evaluation will highlight critical internal and external factors in EQ3.** Addressing Q3 will require identifying and elaborating the critical internal (to the agency) and external (relating to external events, influences, partnerships etc.) factors that underpin the successful implementation of the SP. We began this process at inception, through the desk review and an initial set of key informant interviews for systematic exploration during the evaluation.
89. **The formative evaluation will also address any emerging learning in EQ4.** This will require identifying and highlighting emerging findings showing how optimisation of the different strategic and technical elements of the SP, they are interlinked and speak to each other, is producing initial evidence of achievements of the SP outcomes. We will look for evidence around the context and mechanisms that facilitate implementation of the SP.
90. **The EAFE applies flexible assessment criteria which will be further outlined in the next section.** We propose to apply judgment criteria to support learning, including early course correction and evidence-based decisions going forward. Given the lack of established criteria by which to assess UNICEF's readiness and the SP's evaluability we do not consider the judgment criteria to be final, rigid, predefined performance measures (or benchmarks) by which to hold UNICEF accountable. We will apply them to generate evidence and support learning, keeping an open mind as to their applicability, robustness and utility. At the end of the assignment/in the final report, we will be better placed to advise on their strengths, weaknesses and future applicability.
91. Below in Table 4 is a detailed matrix that includes all questions, approach to answer them, sources of information and proposed methods for analysis of information.
92. While the literature and interviews will largely be UNICEF-centred, key external partners within and outside the UN system will be interviewed and a targeted mini-literature review will be conducted to examine how peer organizations (somewhat comparable) are addressing similar strategic planning and organisational capability issues. To this end, IOD PARC will seek relevant insights from selected MOPAN assessments and evaluations of organizational reforms and strategic change for a select group of organizations such as WFP¹², UNHCR¹³,

¹⁰ United Nations Evaluation Group (2016). Norms and Standards for Evaluation

¹¹ UNICEF (2021), UNICEF Strategic Plan, 2022–2025

¹² Evaluation of the WFP People Strategy (2014-2017), commissioned by the WFP Office of Evaluation, January 2020

¹³ UNHCR Transformation, Executive Committee of the High Commissioner's Programme, EC/72/SC/CRP.17, June 2021

WHO¹⁴ and the World Bank¹⁵, including by drawing on relevant reports of the UN Joint Inspections Unit¹⁶.

¹⁴ Leadership and Management at WHO, Evaluation of WHO Reform (2011-2017) Third Stage, Report April 2017

¹⁵ Knowledge Flow and Collaboration under the World Bank's New Operating Model, Independent Evaluation Group, World Bank-IFC-MIGA, 2019

¹⁶ Review of change management in United Nations system organizations, Report of the Joint Inspection Unit and Complementary Report with review highlights and case studies, 2019, JIU/REP/2019/4

Table 4: Evaluation Questions and Sub-questions

Key Evaluative Question	Evaluative Sub-Questions	Approach	Sources of information	Analysis
<p>Q1. To what extent are the essential strategic elements adequately in place to maximize the likelihood that UNICEF and its partners will succeed in achieving the goals of the Strategic Plan 2022-2025 and the 2030 Agenda?</p>	<p>Q1.1 What evidence is there that each strategic element is in place – that is, the change strategies and enablers, as well as other foundational aspects of UNICEF’s operations not explicitly subsumed under these categories but which are nonetheless crucial to organizational success (e.g., structural and governance arrangements, accountability frameworks, clarity of roles and responsibilities among the business owners of various aspects of the Strategic Plan 2022-2025, adequacy and predictability of quality funding, organizational culture, robustness of results-based management systems, and other key elements intended to support the organization’s capacity to successfully achieve the goals envisioned in the SP)?</p> <p>Q1.2 Based on the answer to the foregoing question, which strategic elements are fully in place, which are partially in place, and which are not yet in place?</p> <p>Q1.3 Among those that are fully or partially in place, what early indications are there that each is adequately positioned to help maximize the likelihood that UNICEF and its partners succeed in achieving the goals of the Strategic Plan 2022-2025 and the 2030 Agenda? A preliminary set of criteria for gauging the strength of positioning of each element includes the following, at minimum:</p> <ul style="list-style-type: none"> • the extent to which each strategic element has been well informed by all relevant internal and external sources of knowledge, as a means of optimizing its prospective beneficial effects on the work of the organization and customizing it to UNICEF’s organizational context(s) • the extent to which there is a clear shared conceptual understanding among all key stakeholders of what each strategic element is about, what it aims to accomplish as an enabler of organizational performance, and a clear pathway indicating how it aims to do so 	<p>Formative Evaluation Readiness Framework dimensions on change strategies and enablers</p>	<p>Desk review:</p> <ul style="list-style-type: none"> - Strategic Plans and relevant MTRs and endline evaluations of previous SPs - SP Theory of Change and Results Framework - Sectoral annual reports - Corporate evaluations and input from sectoral evaluations - Action Plans - Country Programme Documents (CPDs), situation analysis reports, PSNs, COARs, RARs, etc. (where relevant) - Expenditure of the SP 2022-2025 and 2018-2021 - Selected strategic planning documents from peer organizations. <p>Interviews</p> <p>FGDs if appropriate</p> <p>Global modular survey</p>	<p>Triangulation of data from document review, interviews and FGDs, global modular survey and deep dives results</p>

Key Evaluative Question	Evaluative Sub-Questions	Approach	Sources of information	Analysis
	<ul style="list-style-type: none"> the level of clarity as to who the primary business owner(s) of each strategic element is/are and who is responsible for which aspects of it the level and sufficiency of human and financial resources to operationalize and fully leverage each strategic element, especially at the levels where the end client and partner interface is greatest. <p>Q1.4 To what extent are the various strategic elements linked together in a clear, coherent manner as a means of optimizing their beneficial joint effects on the work of the organization and minimizing undue duplication or contradiction of efforts?</p> <p>Q1.5 For those elements that are partially in place or not in place, what is needed to bring each of these to an acceptable level where it can be sufficiently operationalized to contribute as it needs to?</p> <p>Q1.6 To what extent have considerations of and adaptability to humanitarian contexts been sufficiently built into the approaches taken within each strategic element?</p>			
<p>Q.2 To what extent are the essential technical elements adequately in place to operationalize the Strategic Plan 2022-2025, measure progress in its implementation, and meaningfully and credibly evaluate the organization's performance later in the quadrennium?</p>	<p>Q2.1. To what extent are results-based management principles and practices in place, at all levels of the organization and at both in the organization's programmatic and operational areas of work, to ensure clarity of objectives at all stages of the results chain (e.g., theories of change that indicate the pathways to outcome-level results), clarity of strategies for achieving them, and clarity in how they will be measured (i.e., through robust monitoring frameworks and practices and SMART¹⁷ key performance indicators)?</p> <p>Q2.2. How closely are these principles and practices aligned with the long-term strategic vision of the organization and to broader normative frameworks of UNICEF and the wider UN system – e.g., 2020 Core Commitments for Children in Humanitarian Action, the 2020 Quadrennial Comprehensive Policy Review of UN system operational</p>	<p>Evaluability Assessment</p>	<p>Desk review:</p> <ul style="list-style-type: none"> - Strategic Plans and relevant MTRs and endline evaluations of previous SPs - SP Theory of Change and Results Framework - Sectoral annual reports - Corporate evaluations and input from sectoral evaluations - Action Plans - Country Programme Documents (CPDs), situation analysis reports, 	<p>Triangulation of data from document review, interviews and FGDs, global modular survey and deep dives results</p>

¹⁷ Specific, Measurable, Achievable, Relevant, Time-bound

Key Evaluative Question	Evaluative Sub-Questions	Approach	Sources of information	Analysis
	<p>activities, the United Nations Sustainable Development Cooperation Framework Guidance, the Management Accountability Framework, and others?</p> <p>Q2.3. How deeply socialized are these principles and practices in the day-to-day culture and ways of working in the organization – e.g., through use of theories of change and monitoring and evaluation frameworks as active (and where appropriate adaptive) management tools?</p> <p>Q2.4. How closely are key organizational priorities supported by sound result-based budgeting principles and practices – i.e., with resourcing levels being commensurate with priority level – both at a programmatic and operational level?</p> <p>Q2.5. To what extent are the various technical elements linked together in a coherent, integrated manner, both at a programmatic level (i.e., with overall Results Frameworks and associated strategies within individual areas being linked into those in other areas from a holistic, whole-of-child and whole-of-organization perspective) and an operational level (i.e., with various aspects of monitoring and evaluation being undertaken in a systematic, streamlined manner)?</p> <p>Q2.6. How adequately resourced are the technical elements for generating the level of evidence, data and knowledge required for on-going monitoring and evaluation efforts?</p> <p>Q2.7. How well positioned is the organization and its partners to generate ample evidence, data, and knowledge on organizational and systemic performance, both at the programmatic and operational level, and how well positioned is the organization to use and benefit from this evidence, data and knowledge through on-going monitoring and evaluation efforts?</p> <p>Q2.8. Which key areas of the organization’s work, either at the programmatic or operations level, are receiving sufficient monitoring and evaluation attention and which are not?</p>		<p>PSNs, COARs, RARs, etc. (where relevant)</p> <p>Interviews</p> <p>FGDs if appropriate</p> <p>Global modular survey</p>	

Key Evaluative Question	Evaluative Sub-Questions	Approach	Sources of information	Analysis
	Q2.9. For those elements that are partially in place or not in place, what is needed to bring each of these to an acceptable level where it can be sufficiently operationalized to contribute as it needs to?			
Q.3 What key internal and external factors are (fore)seen as influencing UNICEF's ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?	<p>Q3.1. What key internal factors are (fore)seen as influencing UNICEF's ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?</p> <p>Q3.2. What key external factors are (fore)seen as influencing UNICEF's ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?</p>	Formative Evaluation	<p>Meta-analysis of selected evaluation portfolio</p> <p>Desk review:</p> <ul style="list-style-type: none"> - Strategic Plans and relevant MTRs and endline evaluations of previous SPs - SP Theory of Change and Results Framework - Sectoral annual reports - Corporate evaluations and input from sectoral evaluations - Action Plans - CPDs, Sitans, COARs, PSNs, RARs, etc. (where relevant) <p>Interviews</p> <p>FGDs if appropriate</p> <p>Global modular survey</p>	Triangulation of data from document review, interviews and FGDs, global modular survey and deep dives results
Q.4 What lessons can be learned from the emerging evidence on optimisation of strategic and technical elements that can inform implementation of the SP?	<p>Q4.1. What are lessons learned from evidence of existing interlinkages between strategic and technical elements as well as within strategic elements that support achievement of the SP?</p> <p>Q4.2. What are lessons around the context and mechanisms that facilitate positive change and implementation of the SP?</p> <p>Q4.3. What areas of systemic and prolonged inaction were identified that need to be immediately addressed for course correction?</p> <p>Q4.4. To what extent is the SP's business model, including decentralisation, sufficiently agile to facilitate achievement of results?</p>	Formative Evaluation	<p>Deep dives:</p> <ul style="list-style-type: none"> - Meta-analysis of evaluation portfolio - Desk review of additional material on selected deep dives - KIIs <p>Country level if appropriate</p>	Triangulation of data from document review, interviews and FGDs, global modular survey and deep dives results

Key Evaluative Question	Evaluative Sub-Questions	Approach	Sources of information	Analysis
	<p>Q4.5. To what extent does alignment of the SP in relation to wider UN priorities and the reform agenda impact on UNICEF's strategic positioning in the UN system (both at HQ and at locally)?</p> <p>Q4.6. To what extent does the SP provide space for innovation and scale while responding to the need for evidence-based decision-making and programming?</p> <p>Q4.7. To what extent are changes in the culture of the organization showing potential impact to institutionalise new practices (e.g.: around agility, leadership, mainstreaming of cross-cutting programmes, etc.)?</p> <p>Q4.8. To what extent is the overarching structure designed to ensure accountability, governance and the appropriate oversight frameworks are in place?</p>			

2.2 Evaluation Approach

93. The guiding framework for this Evaluability Assessment and Formative Evaluation brings together the Strategic Plan's Theory of Change and the Readiness Assessment Framework and is reflected in the Evaluation matrix presented in section 2.1. The overall approach for the EAFE process will combine:

- A 'traditional' but light-touch Evaluability Assessment to identify and assess the presence and quality of the M&E framework underpinning the SP (including data, the ToC, the logical framework, and key performance indicators – KPIs), and to prepare it for evaluation by the end of 2024.
- A formative evaluation approach to assess the readiness of the SP's Strategic and Technical components to support the SP's operationalization, implementation, monitoring and evaluation, as well identification of red flags and good practices.

The section below will provide a description of how these processes will take place.

2.2.1 Evaluability Assessment

2.2.1.1 Assessment of Availability and Quality of Evidence

94. Assessment of availability and quality of evidence: The evaluability of the SP requires a thorough review of the availability and the quality of the data that the team can draw from. This will include assessing the conceptual underpinning of the SP as well as the presence and type of data to prepare it for evaluation in the future. This process will be based on the ongoing in-depth desk review of documentation already shared by UNICEF, and KIIs that will explore common understanding, efficiency and effectiveness from the users' experience. The team will assess at a minimum:

- Whether data and documents are accessible and available in terms of content and systems to make them accessible and whether there is common understanding, clarity of objectives and strategies as part of sound RBM principles and practices;
- Existence of SP's baseline targets in the shape of a Results Framework associated with the ToC and with SMART KPIs (responding to principles of validity and adequacy) at all levels of the logical chain that can be collected in a regular fashion
- Where indicators sit along the gender continuum, and whether they take into consideration resilience, disability, climate action, and peacebuilding. The team has a range of expertise in all five cross-cutting programmes and will be able to draw from and point to existing international best practice on these areas;
- Whether data is collected for all indicators in the SP's Results Framework and where the gaps are, as well as frequency of data collection and review
- Assessing data use by relevant stakeholders for decision-making and learning purposes and how learning has been used
- Linked to the above, adaptability of the Results Framework and M&E system in order to assess whether there are opportunities for course correction and how they have been identified and actioned upon before

- The extent to which these principles and practices are reflected in the day-to-day culture and ways of working in the organization – e.g., through use of theories of change and monitoring and evaluation frameworks as active (and where appropriate adaptive) management tools;
- The extent to which the organization and its partners are positioned to generate ample evidence, data, and knowledge on organizational and systemic performance.

2.2.1.2 Framework for Meta-Analysis of Select Evaluation Portfolio Findings and Recommendations

95. For this exercise, a meta-analysis represents a synthesis of evaluation findings and recommendations from a selection of evaluations already shared by the UNICEF EO. We have used a specific timeline (from the previous SP to-date, 2018-2022) and key terms (evaluation, assessment, review, analysis) to identify all corporate evaluations and a selection of sectoral evaluations and their management response where existing. The list of selected evaluations is provided in Annex 7.
96. The approach to analyse the portfolio will both be deductive and inductive, in that it will be based both on the existing coding structure associated with the change strategies, the enablers, the cross-cutting programmes and goal areas, the internal and external factors affecting the implementation of the SP, the M&E elements of the SP, as well as new categories emerging from the portfolio review.
97. The methodology is based on the identification of key themes emerging from the desk review and aligned to the strategic and technical elements of the SP, and the internal and external factors that may have affected the SP. Findings are categorized under each of the change strategies and enablers, the cross-cutting programmes, as well as the technical elements (M&E system) of the SP using a matrix such as the below:

Category	Evidence source	Findings	Recommendations	Management Response
(Change strategies, enablers, cross-cutting programmes, M&E, external/internal factors, goal areas)				

2.2.2 Formative Evaluation

2.2.2.1 Developing an Analytical Framework

98. To provide UNICEF with a means for **systematic assessment** and a **consistent framing** which can signal areas of **maturity**, **progress** and **gaps**, the EAFE requires a coherent analytical framework which adequately covers strategic elements (Enablers, Change strategies, foundational aspects), technical elements, cross-cutting programmes and other issues. Across such a wide reaching and diverse set of objects, we are not proposing that each area would be assessed in the same way, using the same indicators, rather that the framework is coherent within itself and is clear in what it is seeking to address, in how we might usefully frame our lines of inquiry and in how linkages might

be explored. As part of the inception phase, a provisional analytical framework was developed. This is broadly split into three 'modules'.

99. The first module would be in line with a formative approach, to be applied across the strategic elements and cross-cutting issues. For this we propose an adapted version of the Readiness Framework designed by the UNICEF EO; consisting of evidence against the dimensions of Approach, Positioning, Resources, Technical Capacity and Partnerships. We feel the Readiness Framework is appropriate for (i) its value as a diagnostic and learning tool, (ii) its purpose of presenting a comprehensive read of the perceived status of maturity, usage, and prevalence in new areas of work; (iii) its reported ability to provide a comprehensive analytical description of baseline status; and (iv) its offer of consistency and comparability across levels/elements. The rationale for grouping strategic elements and cross-cutting issues is that a) these affect how *UNICEF is set up to deliver* on the goals of the SP, and b) require a more detailed intellectual framework to guide and inform interpretation of what could be quite a broad set of evidences and experiences.
100. By comparison, the Technical elements seek to address how *UNICEF is set up to measure* progress delivered via the strategic plan. Criteria for this are more straight forward and will be easier for practitioners to understand and interpret, and for stakeholders and participants to be able to speak to. This lessens the need for something more detailed, and can follow the format of a more traditional Evaluability Assessment, to assess if elements are present, if they are fit for purpose and if they are adequately resourced.
101. The final module is the means by which we assess the foundational aspects. These are often a synthesized view that are 'more than the sum or the parts', and as such will draw on pockets of evidence surfaced by our assessment of the enablers, where the foundational aspects are most rooted.
102. It is the expectation that this analytical framework will be a live document, and should be open to change and responsive in light of learning. That said, it also needs to be robust enough that it allows the inquiry process and findings to be executed in a way that provides meaningful evidence and useful comparison to signal maturity, progress and gaps. It should effectively balance the calibration and coverage of the assessment tool itself with the requirement that it can be easily understood, easily interpreted and applied to different elements, and it can be repeated to provide meaningful data, rather than overly tailored.
103. **We took an open-minded approach to developing the framework.** To that end, we reflected on the purpose, scope and utility of the EA; focused on the formative evaluation of strategic elements and understanding the organizational performance enablers and changes strategies; reflected on the proposed evaluation questions and their contents; brainstormed on the concept of readiness, how to quantify 'in place', and what is meant by being adequately positioned; and conceived an initial framework and analytical approach as a first iteration for refinement before application.
104. **We made some initial assumptions:**
 - Purpose: The purpose of the analytical framework is to assess strategic and technical elements and their readiness to achieve SP goals. Its focus is on assessing the existence and robustness of the elements, through a large desk review, a survey and key informant interviews.
 - Utility: The assessment of the strategic and technical elements is intended to support achieving SP results, inform early decisions and adjustments to SP implementation, and inform evaluation planning to support implementation of the SP.
 - Object: The object of the assessment are the strategic elements (Enablers, Change strategies and foundational aspects), technical elements, cross-cutting issues.

- Thematic: The assessment will focus on the readiness of UNICEF organizational performance enablers and change strategies, foundational aspects, and the related dimensions of readiness.
- Geographic: The assessment will focus on how UNICEF organizational performance enablers and change strategies, foundational aspects and technical elements work across the organization, distinguishing their coordination at HQ/RO level and their users CO level. This will also include connectivity to the external world i.e.. government, UN agencies, IFIs, NGOs, other partners, noting that partnership is one of the Change Strategies. The assessment will sample a set of countries in which UNICEF works to gain this country level, ‘user’ perspective.
- Temporal: The assessment will focus on readiness in the present 2022 and looking forward to 2025 and 2030 in line with the SP. It will consider, as necessary, implementation of the previous SP 2018-2021

105. **We established some practical principles**

- **Supporting the SP is the primary purpose:** The framework is primarily intended to assess strategic elements as outlined in the SP document, with a view to drawing overall conclusions and making recommendations about each, establishing what readiness looks like for each, and making evidence-based judgements accordingly. Note, this means assessing the elements in relation to the SP/Goals, not in relation to UNICEF overall mission. It also means a focus on testing the proposed elements and establishing their coverage, not open-ended research into factors that affect results.
- **The TOC provides a causal logic to apply:** The framework is intended to be guided by and test the causal logic presented in the TOC for each strategic element, recognizing the different functions for enablers and change strategies and their expected contributions to medium-term changes by 2025 and long-term results by 2030. Note, this would mean assessing the elements as dynamic ‘functions’ towards goals, not static ‘elements’ within a machine.
- **Promoting evidence and learning is more important than measuring indicators:** The framework is intended to support evidence and learning approach that investigates to what extent and how these key factors contribute to intended outcomes. Such an approach would focus on what works and how, and the overall degree of readiness. This is intended to align with UNICEF revised approach to RBM and concern for achieving transformative and sustainable outcomes for children by 2030.
- **Flexible design is needed to develop the framework.** The framework is flexible and allows for iteration through learning. Instead of predefining rigid performance criteria for assessing each element, it should be reviewed considering the evidence. Revisions: The framework should be the subject of a workshop with the ERG, revised as needed, and then applied for the analysis. The final report should comment on the utility of the framework and make recommendations for its adaptation / use going forward.

106. **We recognized certain limitations**

- At the time of writing, the coverage of inception interviews so far has been limited to a small number of high-level key informants. The framework will therefore need to evolve as more interviews are conducted. DAPM has now been interviewed, who is a key stakeholder as ‘owners’ of the SP writing process.
- The framework lacks ERG inputs: We propose to present the framework to the ERG at an early stage, to invite feedback and refine before applying to data collection.

2.2.3 A proposed Analytical Framework

Strategic Elements

2.2.3.1 Readiness

107. Readiness: As applied to this exercise, readiness describes the status of a defined organizational function, the form it takes within a specific context and the level to which it is capable of making the best possible contribution (within its sphere of action) to implementing the SP and achieving SP goals, manifested through the specific Strategic and Technical elements.
108. Any assessment of Readiness can be framed by looking at several contributing arcs; that could be the function's overall approach, positioning, resourcing, technical capacity or how it works with others in partnership.
109. Below we provide a definition for each readiness criterion and a set of potential components that will be used to assess readiness of each criterion and per each strategic and technical element.

2.2.3.2 Approach

110. Our interpretation of approach is the means by which an element is planned for, implemented and sustains delivery relative to a specified standard. This could be a standard set by an organisation, or a standard held by an industry. The delivery of something will always follow an approach, whether it is explicitly mapped out or articulated, where different components may be emphasized to different extents.
111. Potential components. The Approach is...
 - relevant to UNICEF as an organisation (i.e. this is something UNICEF should be doing themselves without support), with a clearly defined scope
 - realistic, in terms of what it seeks to achieve and how it aims to achieve it
 - well-constructed/ designed, in that it follows a logical sequencing, processes are clear and easy to use, and is systematic in documenting progress and learning to improve its own effectiveness
 - sustainable in that the approach can continue, based on the assumed level of effort and resources
 - well-informed informed by relevant internal and external sources ('best practice')
 - well-equipped to provide good value, in terms of building on organizational tools and resources, learning and making the most of available support functions
 - well-articulated, through the development and sharing of clear guidelines, explanation, definitions and terminology
 - well understood conceptually/ deeply socialized amongst staff, not just an idea
 - coherent with service delivery, understanding its relationship with Goal Areas, Cross-cutting themes and how UNICEF wants to work in partnership
 - Coherent with wider frameworks
 - Usable by CO, ROs, HQ divisions and external partners

2.2.3.3 Positioning

112. Our interpretation of positioning is that an element exists in the optimal place or places conceptually, to optimally achieve the benefits it is attempting to leverage/ the effect it is trying to

achieve. This may include consideration of the degree of ownership/ accountability, authority, coordination and synchronization with other activities, hierarchy (or lack of), devolved decision-making, knowledge and expertise, and level of support/ mechanism (where spread across multiple 'homes') to allow an element with a dispersed group of stakeholders to continue to function.

113. Potential components. The Positioning of [INSERT]...

- is well-articulated and responsibilities are clear to those involved
- is logical within the organizational structure, based on a clear rationale for the primary business owner/ allocation and any subsidiary contributors/ actors (whether it is sitting in the right place within the organisation)
- is supported within the organizational structure to access different areas, not siloed
- is integrated to the appropriate extent, with adequate knowledge and expertise
- allows it to grow and develop, in response to learning
- is optimal in terms of maximising resources, both human and financial
- is effective in terms of the services it needs to connect to, to functional optimally
- affords good agility for UNICEF staff to responds to opportunities as they arise
- has appropriate governance and oversight, balancing an experienced and informed decision making ability with the necessary knowledge of conditions, trends and context

2.2.3.4 Resources

114. Our interpretation of resources is how well endowed an element is with the necessary financial and human capital to achieve the desired objectives, to the scale envisioned and delivering on time. This may include consideration of how resources are allocated to an element, how they are distributed across different activities/ areas, how accessible they are for staff and the level of devolved authority they have to make resourcing decisions.

115. Potential components. The Resources allocated to [INSERT] are...

- realistic given the scale/ scope/ nature of the challenge
- well mapped out and thought through in terms of marrying estimates to actual costs
- easy to access and available for use
- disbursed in a timely and transparent manner
- sufficient in terms of covering staff time
- prioritised correctly and funding the correct things, keeping in mind the requirement

2.2.3.5 Technical capacity

116. Our interpretation of technical capacity is the skills and experience of personnel in place to work towards delivery of objectives, as well as the processes, policies and capacity building available to personnel to ensure they have the best chance of succeeding.

117. Potential components. The Technical capacity in place to support [INSERT] is...

- sufficient given the overall ambition
- well-supported through guidance, policy and process documents
- well-stocked in terms of personnel with the ability to visualise and articulate strategic direction
- well-stocked in terms of personnel wo are able to operationalise and action theory into use
- well-nurtured and training needs are prioritised
- well-equipped in terms of tools and systems to enable staff to do their job effectively
- receiving enough direction and visible lines of support from managers/ authorities

2.2.3.6 Partnerships

118. Our interpretation of partnerships is the extent to which organizational functions are delivered in a way that maximises the comparative advantages, strengths and resource benefits of working in partnership. This could be connecting and coordinating with other functions/ departments/ countries internally or working with external partners.
119. Potential components. The Partnerships in place to support [INSERT]...
- are prioritized, where adequate time is given to planning for, brokering and sustaining valuable internal and external relationships/ networking
 - provide a more efficient or more effective means of delivering, in terms of making the most of support functions, knowledge and expertise from elsewhere
 - are well-functioning and information is accessible and timely
 - carry clear delineation of roles and responsibilities
 - make the most of the comparative advantage of each party
 - are fairly balanced, in terms of the level of effort by each party to achieve each other's or shared objectives.

Technical Elements

2.2.3.7 Readiness

120. The technical elements are the measurement functions in support of the achievement of the SP's outcomes and goals and comprise the research, data and M&E function of the SP. A second objective of the EA is therefore to assess the 'readiness' of each of the technical elements so as to assess how robustly UNICEF is 'positioned' to measure progress and performance of the SP. The evaluation team attempted a first application of the readiness criteria for the strategic elements to the technical elements but found their application to be incoherent. For the purpose of the exercise, the team therefore proposes that 'readiness' of each technical element be defined through three specific criteria: 'presence', 'fit for purpose' and 'resourcing'.
121. Below we provide definitions of each of the readiness criteria and related components.

2.2.3.8 Presence

122. The interpretation of 'presence' is that the technical element exists, is clearly defined, has clear objectives and its utility and application are well understood by the relevant staff and partners (these latter being a key source of data at country level feeding into the evidence generation function of the whole organization)
123. Potential components. Presence of [INSERT technical element] include:
- Clear definition and logic
 - Realistic objectives
 - Statement of utility in relation to the SP and UNICEF's mandate
 - Guidance on its application internally for UNICEF staff and externally for UNICEF partners

2.2.3.9 Fit for purpose

124. The interpretation of 'fit for purpose' is that the technical element supports achievement of the SP objectives, responds to defined needs and goals, and is aligned with UNICEF and the UN-wide normative framework.

125. Potential components. Fit-for-purpose of [INSERT technical element] include:
- Clear linkages to the goals of the SP
 - The element is aptly built to measure progress at all levels of the SP's logical model and related interlinkages, from change strategies, enablers and related foundational aspects, cross-cutting programmes, to mid to long-term outcome and goals
 - Ability to increase understanding of achievement of objectives as evidence is identified, measured by SMART KPIs and used for adaptation and course correction
 - Clear alignment with UNICEF and UN-wide normative frameworks.

2.2.3.10 Resourcing

126. The interpretation of 'resourcing' is that the technical element is supported by human and financial resources that are adequately distributed across the organization, activities and areas of work, and striking a balance between new and emerging issues and the overarching UNICEF mandate as expressed in the SP.

127. Potential components. Resourcing of [INSERT technical element] include:
- High quality internal research, data generation and M&E expertise internally within UNICEF and externally from a pool of experts
 - Internal and external skills building and learning opportunities that support evidence generation for the purpose of achieving the objectives of the SP
 - People and organisational culture embracing evidence and data generation as central to fulfil the SP's outcomes
 - Sufficient financial resources allocated to ensure RBM and the M&E function at all level of the SP and alignment with the results
 - Availability of data to assess whether resources are adequate to achieve intended results

2.2.4 Proposed scoring and rating

128. Scoring and rating systems are a common technique to deploy where an analytical framework can be applied with relative consistency (though with a degree of interpretation) across a set of criteria. This is often done to better signal the relative position of an item, in relation to other items or in relation to an agreed external position (e.g. a scoring threshold). Rating scales will only ever be a 'model' of reality. They are useful because they provide an *interpretation of complex real-world material* that would be otherwise held in lots of different locations as a dense set of (probably qualitative) evidence, instead providing a more accessible and intuitive display for a wider audience to understand progress, patterns and trends.

129. Scoring positions and scales are determined based on the subject, the assumed knowledge of those applying the ratings, and the environment in which they are applied. A numerical scale could form a hierarchical system whereby underlying scores are set as the most granular level of judgement within the analytical framework, and then these are aggregated as weighted or non-weighted scores to produce any number of 'levels' which can then usefully be used to different people, departments, regions etc.

130. For the purpose of assessing the readiness criteria, it would be useful to include a scoring and rating system in some form so that a) elements can be considered in relation to each other and b) elements can be considered in relation to themselves in future assessments. Given the breadth of both the subject and the environment, we recommend a 'lightly held' scoring system whereby a single rating is applied at the 'aggregate' level (here the proposed readiness criteria), based on an

evaluative judgement of the available evidence against the underlying conditions (so not at the most granular level ‘possible’). We feel it would not be appropriate to apply more granular scores as it is likely that elements are going to be ‘experienced’ differently across UNICEF, and we wish to accommodate these differences rather than develop a system which penalises them. That said, there may be underlying conditions which are *more critical* to an element showing signs of maturity, so we can ensure these are covered in the ‘core’ line of questioning in interviews and surveys.

131. We propose a 5-point scale, which balances accurate measurement and a healthy opportunity for differentiation, with retaining simplicity and keeping a focus on the evidence itself, rather than the scoring and rating system.

132. The rating scale is presented below. First, the scale is designed to quickly identify areas of insufficient readiness (Insufficient/too little) to allow for early action and adjustment. Second, it is designed to distinguish between business as usual (sufficient/good enough) and the level of performance needed to ‘move the dial’, generate outcomes and achieve SDG goals for children (optimized). It is intended to motivate the appropriate level of ambition needed to achieve the SP goals. In order to achieve a systematic and rigorous approach to assessing, rating and scoring the readiness criteria, we recognise that consistency is key. We propose this will be strengthened through:

- Comprehensively briefing the assessors to ensure that they fully understand the requirements of the assessment process;
- Team-based piloting of assessment process, with internal cross-check and validation to ensure consistency in interpretation and application;
- A peer-to-peer review system where a selection of assessments are ‘peer reviewed’. We would propose that 5%? of all assessments be peer reviewed.

Table 5: EAFE Rating Scale

<u>Insufficient/Too little (not ready)</u> : the element is insufficiently ready to support implementation of the SP.	1
<u>In progress</u> : the element presents initial but insufficient evidence that shows readiness for supporting the SP. It demonstrates contribution to outputs but not yet outcomes	2
<u>Sufficient/good enough (partially ready)</u> : the element is ready to support delivery of output results, but cannot demonstrate contributions to priority outcomes.	3
<u>Highly ready</u> : the element presents a very good amount of evidence that support the implementation of the SP with robust evidence towards achievement of outcomes	4
<u>Optimized (fully ready)</u> : element is ready to generate priority outcomes / medium-term changes needed to achieve and can demonstrate its contributions.	5

Not included

- Apply benchmarks: The tool is 'envisaged' to include contextually specific benchmarks pegged to UNICEF specific operating environment as well as external performance benchmarks based on the "gold standard" for each aspect – to help UNICEF aim even higher in this critical decade of action. Defining benchmarks is a dimension we have not yet considered, would require external research and may be difficult to do comprehensively for each within the timeframe available. Maybe a light touch approach is possible, but instead of benchmarks associated with good practice, we propose to focus on causal linkages – which seem important.

How We Will Deal with Cross-Cutting Programmes and issues

133. This readiness assessment will focus on capturing the linkages of the five cross-cutting programmes (Climate Action, Disability, Gender, Peacebuilding and Resilience) and other cross-cutting issues (adolescents, COVID-19, migration, humanitarian action etc.) with the Strategic and Technical Elements. In other words, it will seek to articulate if and how key organizational factors are positioned to maximize outcomes of cross-sectoral programmes and issues. Some of the deep dives may also relate or draw from one or several cross-cutting areas of intervention.
134. Analysis will rely on key informant interviews as well as a review of documents. In order to best capture the above-mentioned linkages, documents uploaded in MAXQDA have been coded using a code tree that mirrors the SP and the evaluation questions - including key strategic and technical elements, cross-cutting programmes, other cross-cutting issues, Goal Areas as well as internal and external factors that influence the implementation of the SP.
135. In many cases, different codes will be overlapping e.g. a paragraph referring to both disability as a cross-cutting programme and an innovative solution may be coded under both disability and innovation, hence some areas will be classified using several different codes at the same time. We will map how cross-cutting themes overlap with strategic and technical components and with the internal and external factors. We will look for specific interlinkages and identify where interesting frequencies of overlapping codes exist and what they reveal of the SP. This will allow us to interrogate which linkages and connections between elements have received specific attention in the organization, which are nascent, and which are more established.

2.2.5 Deep Dives

The deep dives are 'case studies' that will provide an additional set of data points to the EAFE. The deep dives will aim at unpacking examples of interlinkages across change strategies and enablers that may represent areas of particular interest for UNICEF to show the workings of the SP. We would recommend sequencing the approach after analysis of preliminary data. Once findings emerge, the team with the EO and the ERG will agree on selecting case studies where there is **evidence of UNICEF greatest ability to accelerate results**. The unpacking would be done drawing from the existing desk review and potentially conducting a workshop with key stakeholders (to ensure timeliness, given the time constraints of the EAFE) to further discuss the topic. Should confidentiality be necessary to deal with sensitive topics, we would conduct a small selection of semi-structured key informant interviews.

136. The analysis of emerging issues presented in section 1.3.2 based on this very initial stage of the data collection process (67 documents reviewed and nine key informant interviews) points to the following potential areas to be considered as deep dives:

- Organizational culture
- Implementing cross-sectoral approaches/breaking the siloes (possibly using a cross-cutting programme as a practical case)
- UNICEF readiness to respond to the next global crisis/shock

These potential areas for deep dives will need to be adjusted during the data collection phase and after further analysis, and be agreed upon together with the Reference Group.

2.3 Data Collection

2.3.1 Document Review

137. An in depth document review will be conducted, examining key UNICEF strategic documents including: global level strategies, policies, action plans, ToCs and frameworks; regional strategies and ToCs; a sample of CPDs from selected countries; executive board decisions; annual reports from across divisions, regional bureaus and country offices; evaluations, assessments and research; and wider UN-system documents. This will be used to map out key documentary evidence against the strategic and technical elements, mapping UNICEF direction and existing evaluative data and evidence as well as analysing alignment with the SP 2022-25 across the organisation.

2.3.1.1 Analysis and Demonstration of Key Aspects of the M&E System

138. As part of the secondary document review, it is proposed that the evaluation team will carry out an in-depth review of the logical flow in the SP's ToC and its assumptions, and a review of the Results Framework, are used to assess UNICEF ability to measure outcome-level changes. It will also include analysis of the M&E system, how this is systematized from global to country level, what the strengths and weaknesses are in data collection processes and sources of data as well as practices and culture around the use of data and evidence. The evaluation will also focus specifically on the newer elements introduced in the SP and whether they have been adequately integrated in the M&E system to allow the tracking of progress in the strategic cycle.

2.3.2 Stakeholder Consultations

139. The evaluation team will aim to consult with a wide range of internal and external stakeholders and global, regional and country levels. Key informant interviews, focus group discussions, a global survey and consultative workshops will be used in a coherent manner to sample as wide a range of stakeholders as possible within the time and resource limitations of the project.

2.3.2.1 Focus Group Discussions

140. An initial round of FGDs will be held for each of the strategic elements with the organisational leads on the change strategies, enablers and cross-cutting programmes to ascertain the progress and plan for implementation of each of the elements. This will provide a space for the leads to self-

assess, offering a readout on implementation progress with the evaluation team before comparing this with data gathered from other stakeholders in HQ and at regional and country level.

141. A single FGD will also be conducted with key donor and UN partners in each of the selected sample countries and will be carefully crafted to promote dialogue and exchange of ideas among the different parties. The FGDs will explore UNICEF and partners' views about the SP and strengths and weaknesses of its components in the context of the UN Development System (UNDS) reform. A further 5-6 FGDs will be conducted with relevant internal staff in UNICEF to explore the deep dive areas selected in the evaluation.

2.3.2.2 Key Informant Interviews

142. KIIs will be conducted with a set of key internal and external stakeholders at UNICEF global, regional, and country levels. This will include UNICEF staff, key UN entities including UN Development Coordination Office as well as partner agencies, donors and IFIs and, if relevant, national government counterparts, national and international NGOs, media, academics and private sector organisations working in partnership with UNICEF. These will explore perceptions on the readiness dimension of each element of the SP, what is working/not working, how and why as well as providing the opportunity for a set of initial recommendations to emerge and be shared with the EO. The assessment team will conduct an indicative 45 KIIs covering HQ and regional level and a further 140 interviews at country level, covering the key stakeholders in the countries sampled. Key informants at country level will be identified once the country sample has been confirmed. There will be an indicative 8 key informant interviews per sampled country, split between internal and external stakeholders.

143. In deciding which countries to cover in conducting KIIs, we will discuss further with the Evaluation Office which to include based on clear criteria, while ensuring to cover high-, middle-, and low-income countries, as well as development, humanitarian, and fragile and conflict-affected settings. Below is the list of criteria used for the selection of the countries as suggested by UNICEF:

- Income Level
- Region
- SDG Progress
- Context (FCAS, Small Island Developing State, Development, Emergency)
- Budget Size/Spent
- COVID-19 Recovery
- Innovation Country
- Country with New CPD
- Flagship Programme/Partnerships
- Recent Global/Regional Evaluation (Evaluation Fatigue)

Table 6: Selected Country Office Sample

Country	Region	Income	SDG Progress				Humanitarian Context		Spent (2019)	Spent (2020)
			SDG 2	SDG 3	SDG 4	SDG 5	2020	2019		
China	EAPR	Upper middle income	Off	Off	On	Off			26,528,665	31,919,184

Fiji (Pacific Islands)	EAPR	Upper middle income	Off	Off	On	Off			20,379,129	31,997,277
Kosovo (UN SC resolution 1244)	ECAR	Upper middle income							2,495,588	6,007,202
Turkey	ECAR	Upper middle income	Off	Off	Off	Off			170,048,475	179,133,138
Angola	ESAR	Lower middle income	Off	Off	Off	Off			26,879,854	26,002,725
Zimbabwe	ESAR	Lower middle income	Off	Off	Off	On		L2	136,117,839	110,185,282
Colombia	LACR	Upper middle income	Off	Off	Off	Off		L2	19,607,538	21,856,234
Uruguay	LACR	High income	Off	Off	On	On			2,115,199	2,518,842
Syria	MENAR	Low income	Off	Off	Off	Off	L3	L3	122,994,081	110,424,846
India	SAR	Lower middle income	Off	Off	On	Off			120,771,971	99,770,957
Sri Lanka	SAR	Lower middle income	Off	Off	On	Off			4,955,648	6,529,523
Democratic Republic of Congo	WCAR	Low income	Off	Off	Off	Off	L2	L3	274,568,100	269,001,497

2.3.2.3 Global Survey

144. The global survey will explore UNICEF staff and, where relevant, selected partners' perspectives on the SP and its strategic and technical elements. Purposive sampling will be used to select respondents after consultation with UNICEF and after the country case studies have been selected.
145. The survey will take a [modular approach](#), where a set of demographic 'header' questions are proposed at the start of the questionnaire to allow the data to be considered from the perspectives of different groups, e.g., Thematic area, Office (HQ, Region, Country, Sub-National/ Field Office). Specialists within the agency will be asked to respond to questions that pertain to their expertise as well as to general ones. This will be controlled by branching logic within the survey tool. Similarly, the survey will respond to specific patterns of responses based on the respondent's level of familiarity with the change strategies, enablers, and technical elements, rather than ask the full group about every item. This is designed to solicit better quality data, as well as to ensure the survey is as lean as possible to maximize the chances of a higher response rate.

146. The survey will be made available in English only, though efforts will be made to ensure any questions and response options are intuitive for non-native English speakers. The survey will include a mix of quantitative and qualitative questions, to ensure that comparable data is gathered as well as leaving space for in-depth qualitative reflections.

2.3.2.4 Consultative Workshops

147. As set out in Section 2.7 below, we aim to understand and consider the priorities and concerns of different stakeholders throughout this consultancy. Workshops form a key part of how we will do this and will take place at regular intervals during the exercise in-line with existing UNICEF internal consultation mechanisms to ensure minimum disruption. Workshops will involve the Evaluation Reference Group (which will be made up of members from the Evaluation Office, HQ Divisions, Regional Directors and external stakeholders). During the workshops, the team will orient participants in making sense of the data emerging from the assessment, identifying good practices, red flags, and measures for course correction.

148. We foresee four possible workshops to:

- Discuss the [inception report](#)
- Discuss [emerging findings](#)
- Discuss [first draft report](#) prior to its dissemination for comment
- Present the [final draft](#)

2.4 Data Analysis

149. Data from different sources will be analysed using different tools. Responses from the survey will be presented using simple descriptive statistics to show the number or percentage of respondents to each specific question. We will also develop a multi-layered data analysis framework against which we will map evidence from our secondary document review, including the analysis of the M&E system and the meta-analysis of evaluations, as well as primary data collection using MAXQDA, a content analysis tool. We use standardized data collection templates to ensure coherence across the team, with oversight from the Team Leader to apply consistent ratings and triangulation for answering the evaluation questions.

150. Below is a summary of how we will conduct data analysis across the multiple components of the EAFE:

- **Descriptive analysis:** to understand and describe each strategic and technical element, its positioning in the organization and any findings from past evaluations, assessments, annual reports, and other relevant source of information. Descriptive analysis will be used to present findings from the analysis of the functioning of the M&E and RBM system, including through demonstrations of key aspects of the M&E system.
- **Content analysis:** to identify different lines of inquiry, new and emerging as well as overlapping themes as they derive from the coding process from MAXQDA, key interviews and FGDs, as well as through the iterative process of discussion with the ERG. Content analysis will be useful to identify common trends and patterns as well as divergences and flag different views on certain issues.
- **Meta-analysis** of previous evaluations: to identify emerging findings across different change strategies, enablers, or technical areas, compare against previous assessments and

identify areas of inaction that need immediate attention, as well as examples of good practices.

151. Data from different sources that speaks to strategic and technical elements will be combined to produce a final scoring on the scale of 1-5, and we will use evaluator's judgement informed by extensive analysis of all data sources to produce what we believe is the correct score. We will work as a team in regular analysis sessions to ensure internal coherence for the application of the rating system.
152. Overall, we will make extensive use of appealing and simple-to-understand visuals and graphics to show summarized results, with spider diagrams to clearly visualize results for each strategic and technical element and an associated narrative to further describe the findings.
153. Triangulation ensures that findings and conclusions are reliable, and increases the credibility and defensibility, integrity, and credibility of the evaluation report. As much as possible the report will be based on bringing together information from all different lines of inquiry and demonstrating the use of different data sources in a transparent fashion. Once the evaluation questions and sub-questions are confirmed, the detailed evaluation matrix will be refined to further explain which data sources inform our evaluative judgment and how they are triangulated.

2.5 Report Writing and Deliverables

154. Preliminary findings, which will be quality assured internally as well as by the UNICEF Evaluation Office project team, will be presented in a virtual multi-stakeholder workshop to validate initial results, and to collect any comment that will then be incorporated in a [Final Report](#). We will also develop a [data management plan](#) to ensure appropriate organization, coding, and archiving of data for ease of re-use at midline and endline. All data will be anonymized and labelled per type of interviewee, number of interviewee and initial for the location of where the primary data collection will take place (for the deep dives).
155. The final EAFE report will include a 2 to 3-page snapshot for each strategic and technical element's finding, conclusions and recommendations and spider diagrams to clearly visualize each element.

2.6 QA of Deliverables

156. The primary level of quality assurance internal to the evaluation team will be provided by the Team Leader who is responsible for reviewing inputs across the team for consistency, quality, and evidence in compiling drafts of deliverables. Each key deliverable will then be reviewed independently by Julian Gayfer, IOD PARC Managing Director, and his comments taken on board prior to submitting drafts to UNICEF. Further quality assurance will come through addressing comments by the UNICEF Evaluation Manager and finally by the Evaluation Reference Group. Membership of the ERG is shown in Annex 2. The final report will be copy-edited before final submission.

2.7 Stakeholder Feedback Mechanism

157. Central to our stakeholder feedback mechanism is the Evaluation Reference Group (as set out in Section 4.1). It will enable us to interact with key users and stakeholders in a structured manner. It will also ensure we consider the priorities and concerns of different stakeholder groups throughout the assignment. We propose a Reference Group of between 12 to 15 individuals representing the three main stakeholder groups. A full breakdown of stakeholders can be found in Annex 6. They include the:

- **Service Group:** this group includes the strategic element lead coordinator and other representatives or key actors from departments or units who have a formal role in managing the strategic element including the board, senior management and the Office of the Executive Director.
- **User Group:** this group includes leads in regional and country offices, implementing partners and strategic partners who use the technical support provided by the service group.
- **MEL Group:** this group includes monitoring, evaluation and learning actors from the Evaluation Office and wider Evaluation function and those responsible for results, monitoring and performance management. Importantly, this group also includes the Division of Data, Analytics, Planning and Monitoring (DAPM) who are responsible for the implementation of the Strategic Plan, the Office of Research, Innocentia and OGIP. Each group will be represented in the Reference Group and will be part of a structured feedback approach based on our agreed workplan and process. Nevertheless, if the three user groups require additional space for dedicated feedback we can flex accordingly. We suggest that the most important points for this to happen, to keep the burden to a minimum and maintain a level of proportionality, are as follows:
 - Presentation of the Readiness Framework
 - Following data collection and analysis, we could hold a workshop to discuss emerging findings and conclusions (the basis of the zero draft). The purpose would be to validate our findings and reflect on the usefulness of what we have found
 - Following submission of the first draft of our report, we could ask each group to aggregate comments and share with us

158. Our methodology and approach set out in the preceding sections is underpinned by five core principles: proportionality, learning facilitation, transparent assessment, evidence generation and an agreed methodology. By working in an open and transparent way – ensuring all stakeholders understand our approach, timeline and process, there is more chance of successfully achieving our objectives and facilitating learning. When we engage with staff, we will consciously avoid being burdensome and we will ensure our requests for input are proportionate to the value of the evidence required.

2.8 Limitations to the Evaluation and Mitigation Strategies

159. The Assignment Team have identified several primary limitations:

- a) The EAFE is taking place relatively early in the life of the SP, so there will be little data and evidence on progress in outcome terms. However, this will be managed by keeping the scope focused on baseline readiness and the change strategies and enablers, not on outcomes and goals directly. The evaluation team will also ensure that evaluative material and previous lessons learned are reviewed to cast light on progress on strategic and technical elements from previous strategic cycles.
- b) The EAFE aims to cover UNICEF work, from HQ to country and sub-national level whilst working within a tight timeframe. This will be managed by having a two-step process in the assignment, the first of which will cover the entirety of UNICEF operations and with the aim of identifying key areas where there may be red flags/ strengths and then doing deeper dives on the key issues identified to provide UNICEF with the detail necessary to act upon the assignment findings.
- c) The SP is large and covers many areas while the strategic and technical elements include a number of nested and overlapping aspects which will need careful consideration to keep them clear and distinct where possible and cover from different angles where they overlap.
- d) Finally, the assignment will not engage stakeholders at the local and beneficiary level. To mitigate this, the assignment will aim to draw on documentary evidence from reviews, assessments and evaluations that have engaged with local stakeholders.

3 Workplan

160. The workplan proposed by IOD-PARC in December 2021 has been modified as per the dates below. The workplan has been updated to account for the time required for the project initiation, the scheduling of the assignment kick-off meeting, and the scheduling of the inception interviews. However, only the dates in the Inception Phase have been affected, and the dates for the data collecting and reporting stages remain the same, including the dates for the deliverables.
161. The Assignment Team have also added in an activity at the end of March to review the conceptual framework whilst the data collection is ongoing, to take stock of the information collected, and to iterate the framework accordingly.
162. The updated workplan and timeline are included in Annex 4. The workplan includes associated activities, number of days for each activity, and deliverables.

3.1 Deliverables and Dates

163. The key dates and deliverables are as follows:

Table 7: Key Dates and Deliverables

Deliverable	Date
Inception interviews	01 to 11 February 2022
Delivery of the draft inception report	09 February 2022
Delivery of draft data collection tools	07 March 2022
Delivery of the final inception report	April 5 2022
Data collection	07 April to 19 May 2022
Analysis	05 May to 23 May 2022
Workshop on emerging findings	Week commencing 16 May 2022
Delivery of the draft evaluation report	Week commencing 13 June 2022
Delivery of the final evaluation report	Week commencing 27 June 2022
Final presentation	Week commencing 04 July 2022

3.2 Changes in the Allocation of Days

164. Elisa Radaelli, Project Manager and Researcher for the assignment recently resigned from IOD PARC, effective from February 4th. 11 of her allocated days have been reassigned to Joe Watkins for project management and 12 days to Celine Giuliani for expert advice.

4 Management

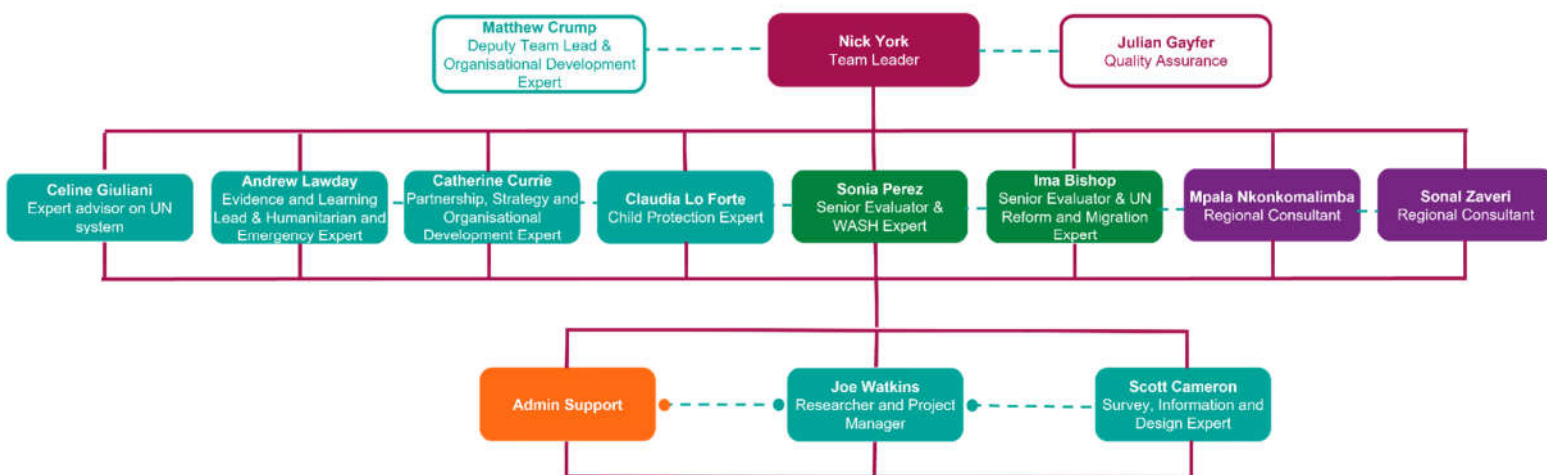
4.1 Role of the Evaluation Reference Group

- 165. The main oversight over the EAFE is provided by the Evaluation Reference Group which is comprised of key UNICEF staff from the Evaluation Office, HQ Division directors, Regional Directors as well as several key external stakeholders from government WFP and the Gates Foundation (see Annex 3 for full details).
- 166. Consultations on purpose, principles and practicalities of the evaluation design will be held with the broader ERG. The ERG will also have an opportunity to provide written comments on evaluation deliverables, including the draft Inception Report and draft Final Report. This is with the aim of ensuring that the assignment findings, conclusions, and recommendations are useful and actionable and to ensure that the assignment is conducted in line with the prevailing UNEG Norms and Standards and Ethical Guidelines and other relevant procedures.

4.2 Team Organization and Responsibilities

- 167. The evaluation team will be relatively self-sufficient in terms of managing the evaluation process, appreciating UNICEF support to access key project stakeholders and key documentation. There may be cases where UNICEF facilitation is required, for example formal introductions as part of protocols for meeting with stakeholders, but otherwise the evaluation team will manage most communications with stakeholders. UNICEF will send letters of announcement to the stakeholders to be consulted. IOD PARC will follow up to confirm the interviews and scheduling.
- 168. The team composition reflects the needs expressed in the ToR. Team roles and responsibilities are as follows:

Figure 3: Team Structure



4.3 Communications and Commenting Process

169. The evaluation team envision working closely with the UNICEF EO throughout the evaluation process, with scheduled bi-weekly check in meetings, additional check ins as required as well as early sharing of draft deliverables and emerging findings to build a collaborative process. Table 5 below sets out the evaluation team’s proposal for the communications process throughout the evaluation to ensure a streamlined commenting process and a collaborative approach.

Table 8: Evaluation Communications Process

Description	Frequency	Method	Participating
Team kick off meeting	27 January 2022	Meeting; Teams	IOD and EO
Bi-weekly check in with UNICEF EO	Week commencing 28 February	Meeting; Teams	IOD and EO
Interview Scheduling	Week commencing 14 March 2022	IOD PARC will share an availability tracker with UNICEF EO. UNICEF EO will provide individual interview confirmations.	IOD and EO
Feedback on the draft inception report and data collection tools	16 February – 04 March 2022	1 round of consolidated written feedback from UNICEF EO with follow-up meetings as necessary	EO
Feedback on the draft inception report and data collection tools	10 March	1 round of consolidated written feedback from ERG 1 Meeting; Teams	ERG
Workshop on emerging findings	Week commencing 05 May 2022	Meeting; Teams	IOD and EO
Feedback on the draft evaluation report	Week commencing 20 June 2022	2 rounds of consolidated written feedback from UNICEF EO with follow-up meetings as necessary	EO
Feedback on the draft evaluation report	Week commencing 04 July 2022	1 round of consolidated written feedback from ERG Meeting; Teams	ERG
Consultative workshops with relevant stakeholders on deep dives	Week commencing 11 July 2022	5-6 Meetings; Teams	UNICEF stakeholders
Final presentation	Week commencing 11 July 2022	Meetings; Teams	EO and ERG

4.4 Dissemination and Learning

170. IOD PARC envisage a collaborative approach involving workshops at key stages to allow the assignment team to benefit from stakeholder feedback from across UNICEF key stakeholders as well as via the evaluation office and reference group. This will also allow IOD PARC to feedback findings and learning at an early stage to key stakeholders within UNICEF in a ‘no surprises’ approach, aimed at increasing ownership of the final findings, conclusions and recommendations.

4.5 Risks and Mitigation

171. The specific risks, their probability and impact on the assessment as well as mitigation strategies identified at this stage are detailed in the table below.

Table 9: Risk Assessment and Mitigation Strategies

Risk	Probability	Impact	Mitigation Strategies
<p>The assignment is set to run on a condensed, 6-month timeline and cover a huge range of UNICEF operations and implementation areas. Although the timeline is manageable as outlined, there is limited space for delay or slippage if the assessment is to be completed to the deadline.</p>	<p>Medium</p>	<p>Medium</p>	<p>Although the timing of the assessment is feasible, contingency plans will be required to allow for unforeseen events. This includes events affecting UNICEF staff that may have a delay to data collection, specifically those relating to COVID- 19. We will ensure that the availability of UNICEF teams, key informants and other stakeholders aligns with the timing of the data collection and workshops.</p> <p>In terms of contingency if there are unforeseen events that affect the IOD PARC team, we have designed the workplan to allow for flex in terms of effort and days across the assessment team in terms of phases and distinct tasks. In addition, IOD PARC is able to provide surge support from across the company to ensure that deliverables are provided within the timeframe.</p> <p>In addition, if the timetable for full delivery becomes untenable due to delays caused by UNICEF, then IOD PARC may ask UNICEF to adjust the timetable accordingly including identifying time saving options on the breadth/depth of deliverables or adjustments to quality expectations. W</p> <p>The assignment team has already made significant progress on key tasks such as the desk review and will seek to move into data collection as soon as possible following approval of the Inception Report.</p> <p>We also propose that for managing and agreeing comments on assessment draft products that clear processes and responsibilities are agreed which will expedite the process. We propose that the individuals who will comment on each product are identified at the outset and alerted to their responsibility and the likely timing of their inputs; that we supply a template for comments on products; and,</p>

			that UNICEF consolidates the comments and addresses any internal differences of opinion prior to returning the composited comments to IOD PARC.
The assignment team is aware that evaluation fatigue is prevalent in UNICEF, having conducted a range of assignments with UNICEF in past years and based on the statement in the ToR.	Medium	Low	IOD PARC will ensure that interviews are as brief and focused as possible and that we return to interviewees only if necessary. Interviewees will be selected based on their relevant experience and will be limited to those for whom a given topic is most salient. IOD PARC will ensure that the meeting times are respected and do not overrun. In addition, all requests for information will be streamlined in coordination with the UNICEF Evaluation Office.
As the assignment is to be conducted across a large range of UNICEF operations and within a condensed timeline, the assignment requires a large team. Therefore, coordination and communication across the team and with UNICEF will be critical aspects of the assignment.	Medium	Medium	<p>As the assignment requires a large team, working in unison and to a condensed timeline, strong project management will be critical. IOD PARC have assigned several team members, Joe Watkins, and Hally Houldsworth as project managers to ensure effective coordination and communication across the team and with UNICEF. In addition, the workplan includes support on distinct tasks such as interview scheduling, document management and team communications.</p> <p>IOD PARC have also built time into the workplan for project management and project management tasks and progress meetings, reporting and communication both internally and with UNICEF to ensure that UNICEF is kept well informed on progress and that all team members are working to schedule and are providing inputs at the critical moments.</p> <p>Finally, all data collected will be analysed in a central MAXQDA file. This allows all team members to code and analyse the data collected in the same file, meaning the information and analysis is available across the assignment team.</p>
The assignment will take place in the ongoing context of the COVID-19. This means that data collection will take place remotely. In addition, COVID-19 has placed additional pressures on the already competing demands on UNICEF, their partners and stakeholders which may limit	High	Medium	Given the current COVID-19 situation, the assignment team have planned for a 'virtual first approach'. We actively maintain an international risk register to track the latest information to inform our decisions. We have a stable and secure electronic platform for remote working and regularly use various forms of electronic communication among our internationally dispersed staff, and to communicate with a range of stakeholders outside our

<p>engagement and availability from key stakeholders.</p>			<p>organisation. We have on-site IT support and dedicated experts who advise and assist our teams on the use of relevant electronic media and tools in various aspects of their work, without compromising the quality of the engagement or relationships.</p> <p>We anticipate many critical individuals/stakeholders relevant to this assignment will have limited availability due to the pressures associated with COVID-19 and other contextual factors. When engaging with partners, we will clearly articulate the scope and purpose of the assignment and the importance of their inputs. We will also draw on UNICEF to support our engagement with stakeholders and partners, demonstrating the value and utility of the assignment out with UNICEF. We will seek to be as flexible and accommodating as possible when arranging to interview stakeholders at times convenient to them.</p> <p>Should electronic data collection not be possible for key informants and/or stakeholders, IOD PARC, with UNICEF assistance, will work to mitigate all risks to all parties and make plans for which data collection to proceed with and how to ensure a large breadth of engagement with different stakeholder groups. If stakeholders are not available at any point during the assignment period, we would propose finding replacement key informants.</p> <p>We also acknowledge that public holidays vary globally and that other traditional/cultural/ religious considerations may affect our ability to conduct primary data collection, even virtually. When possible, we will factor such issues into planning and logistics to mitigate any negative implication this could have on our ability to collect data of sufficient quality and quantity.</p>
<p>As stated in the ToR and reported in the SP 2018-2021 evaluation, there are likely to be some data gaps in relation to the specific contribution of the change strategies and enablers to the achievement of Strategic Plan targets.</p>	<p>High</p>	<p>Medium</p>	<p>The assignment team will work closely with UNICEF to identify the data available and test the assignment questions as the conceptual framework is developed, including accessibility and reliability of data sources, to ensure that any challenges can be mitigated against, or actions replaced before data collection begins.</p>

			<p>The data collection tools, and analysis frameworks will also be further iterated during the data collection phase to ensure that the right kind of data is collected and is being analysed using a standardized approach. Where a gap in data/documents is identified, we'll aim to fill that with primary data, by identifying and trying to interview relevant key informants that might be able to provide information to supplement the available documents, or where interviews are not possible engage them through the online survey.</p> <p>We will also liaise with UNICEF (both at the RO and respective CO level) or other stakeholders as they advise and deem appropriate) to act as gatekeepers and facilitate access to participants for the key informant interviews and/or focus group discussions.</p>
<p>Several of UNICEF largest programmes are in highly volatile emergency settings. Therefore, data collection with key stakeholders in these contexts may be challenging due to the additional pressures and sensitivities of the working context.</p>	<p>Medium</p>	<p>Low</p>	<p>To account for the data collection taking place with stakeholders in volatile contexts, IOD PARC have a pool of experts, several of which have a range of experience of data collection in volatile and fragile settings. We also have several regional consultants, familiar with regional/country emergency contexts who will be able to advise on data collection sensitivities in such situations. They will also be able to provide situational knowledge which will be used to adapt data collection tools and approaches where necessary.</p> <p>In addition, IOD PARC may ask UNICEF to reach former staff/partners that have recently moved on from working in volatile contexts where they are available/willing to engage. The assignment team will also use project reviews, monitoring data and programme evaluations where available as good secondary data to supplement institutional memory.</p>
<p>Organisation and facilitation of remote focus group discussions (FGDs) and workshops can come with greater risks and limitations including connectivity and logistical issues.</p>	<p>Medium</p>	<p>Low</p>	<p>IOD PARC have a large amount of experience facilitating remote FGDs and workshops. We test the tools with participants beforehand to ensure participants are confident in connecting and using the tools prior to the meeting. We ensure to use features such as breakout rooms to enable all participants to engage meaningfully. Successful remote FGDs and workshops are dependent on strong internet connections and electricity</p>

			supplies. Should this not be possible we would suggest additional individual KIIs as an alternative although this will not enable us to cover as broad a range of stakeholders. Additionally, given the longer-lead time for organising remote engagements we are dependent on UNICEF timely support in identifying participants and assisting in the arrangement of FGDs and workshops.
The information and data provided to IOD PARC by UNICEF is likely to be sensitive in nature.	Medium	Low	Team members will ensure that all data to which they have access in relation to the assignment, regardless of medium (print, or electronic text, oral or visual) will remain confidential to protect the anonymity and therefore safety of respondents, researchers and others who have taken part in the research. All data provided to IOD PARC will be stored securely in IOD PARC's system in accordance with our data protection policy. Any findings from the research will not be disclosed to anyone outside the research team.
High turnover of staff, can mean that key informants may lack the requisite institutional memory to reflect on key questions and issues.	Low	Low	Our team is highly experienced in tailoring interview questions and lines of inquiry during interviewing to obtain high quality information, based on informants' frame of reference and experience. In addition, IOD PARC with the help of the UNICEF EO may seek out staff formerly at the duty station to complement information gathered.
UNICEF key contacts (particularly evaluation managers) may change personnel during the course of the assignment.	Low	Low	Changes in staff are not unusual. To support any handovers, we would prepare induction/ onboarding sessions to rapidly introduce new staff to the process in a way that shows the evolution of thinking and process to date.
The survey will only be conducted in English and not translated into other languages due to the resource and time constraints of the EAFE. This may pose the risk that language barriers may impact on the EAFE team's ability to convey the concepts in the survey clearly and thus the ability of all stakeholders to respond meaningfully.	Medium	Medium	The EAFE team will ensure to develop the concepts and definitions that are in line with UNICEF internal language and are as clear as possible and free from jargon in order to facilitate understanding and ability to respond across UNICEF.

4.6 Ethical Considerations

172. The evaluation will observe the ethical principles and standards set by both UNICEF and IOD PARC. This starts with the principle of ‘Do no harm’. The IOD PARC ethical code of conduct contains IOD PARC’s ethical framework for all its work, including field visits, and has been used in UNICEF evaluations in several countries. A copy of the ethical code of conduct is available on request. It is based on international guidelines for all contexts:
- UN Evaluation Group Ethical Guidelines for Evaluation, 2020
 - UN Evaluation Group Code of Conduct for Evaluation in the UN System, 2007
 - UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis, 2015
 - Department for International Development (DFID), Ethics Principles for Research and Evaluation, 2011
 - Economic and Social Research Council (ESRC) Framework for Research Ethics Principles, 2012
173. This means that the evaluation team will uphold the appropriate obligations of evaluators, including maintaining the independence, impartiality, credibility and accountability of the individual team members and the evaluation process. The evaluation team is not subject to any conflicts of interest and will confirm at the reporting stage whether they were able to carry out the evaluation without any undue interference.
174. IOD PARC will conduct a self-assessment using a decision tree or other risk identification tool. Should the screening reveal a major risk, then IOD PARC will elaborate upon the intended mitigation measures and will look to implement a full ethical review.
175. Informed Consent Protocols are included in Annex 9 including guidance for interviewers regarding managing referrals if a respondent becomes upset or distressed.

4.7 Data Management

176. We take a Responsible Data Lifecycle (Oxfam, 2017¹⁸ and USAID, 2019¹⁹) approach to managing client and evaluation participant data which is in line with UNICEF Procedure (2020). This applies to both personally identifying information, as well as the content of interviews, focus group discussions and surveys. In line with our Data Protection Policy and Ethical Code of Conduct, we avoid collecting any data that is personally identifying, and if for any reason it is necessary to collect such information, we protect individuals by holding the data on encrypted hardware and anonymizing it at the earliest opportunity. We understand that personally identifiable information refers to data such as someone’s name, address, and contact details, but it also refers to combined data such as a job title within an organization or descriptive characteristics of individuals and their circumstances.
177. Within this evaluation, we will specifically ensure the following:
- **Confidentiality:** participants’ anonymity will be protected, and all participants will be assured of the confidentiality of any information they share with us

¹⁸ Responsible Data Management Toolkit available at:

<https://policy-practice.oxfam.org/resources/responsible-data-management-training-pack-620235/>.

¹⁹ Considerations for Using Data Responsibly at USAID available at: www.usaid.gov/responsibledata

- **Preventing disclosure of identity:** we will take appropriate measures to prevent an individual's data from being published or otherwise released in a form that would allow any subject's identity to be disclosed or inferred
- **Informed consent:** we will seek informed consent from all participants and ensure that participants have the contact details of the evaluation team so that they can withdraw or change their consent at any time
- **Data security:** our data is kept secure on our servers; once analysed, all data is anonymized. We destroy all personal data within six months of the completion of a project. Only team members will have access to password-protected folders containing participant data for the duration of the project. Raw data (for example, interview transcripts) are stored in a protected folder in IOD PARC's document sharing site on the secure server. This folder is accessible only by the evaluation team. The evaluation team and all users of the shared folders have signed confidentiality and data protection agreements

Annexes

Annex 1: Initial Document Review

Summary of MAXQDA Analysis of Documents from Inception Phase

178. As part of the initial document review, 67 documents were reviewed (of a total 318 provided by the UNICEF EO) in MAXQDA, a qualitative data analysis software, with 3885 segments coded, focusing on documents marked as high and medium priority by the UNICEF EO. The initial document review allowed the Assignment Team to test and refine the coding structure as shown below (without sub-sub codes), identifying the areas in which the Team will continue to build bodies of evidence through further data collection and analysis.

Figure 4: MAXQDA Codes from Initial Document Review

Code System	Documents
Goal areas	6
Goal area 1: Survive and Thrive (Nutrition and health)	207
Goal area 2: Learning, education, skills fulfilling potential	65
Goal area 3: Child protection, violence, exploitation, abuse	56
Goal area 4: Safe and sustainable WASH, climate and environment	99
Goal area 5: Social protection and eliminating poverty	39
Cross-Cutting Themes	4
Adolescents	
COVID	87
Disability	45
Humanitarian action	99
Migration	16
Rights	78
SDG Agenda	63
UN Reform	61
Change Strategies	32
Advocacy and communications	127
Community engagement, social and behaviour change	58
Data and research	169
Digital transformation	6
Gender (and equity)	181
Innovation	134
Multisectoral programming	21
Partnerships and engagement	511
Systems strengthening to LNOB	151
Triple Nexus	260
Enablers	18
Accelerated resource mobilisation	197
Business model	140
Dynamic & inclusive people and culture	156
Governance and oversight	189
Internal communications and staff engagement	90
Monitoring and evaluation	42
Adaptive M&E System	61
Evaluative function informing adaptations/review	31
Gender and equity data	4
Incorporating children's voices	20
Incorporating community voices	1
Knowledge management	45
M&E Framework	45
Results based management	72
Strategic Planning Processes	11
Theory of Change	24
Factors Influencing Results	6
Internal	101
External	33
Quality of SP	9
Readiness Rating	14

179. The sections below set out the findings from the initial document review, set out by strategic elements and technical elements. These sections are intended as maps of UNICEF thinking and action on these elements to help guide further analysis, drawing out from documentation the critical strategic considerations for each strategic element and findings or evaluative evidence of note (where this is available). At this stage, no evaluative judgements have been made. The evidence from the document review will however be combined with the inception interviews to put forward potential areas of interest for the deep dives.

Strategic Elements - Change Strategies

Advocacy and Communications

180. Evidence-driven advocacy and communications²⁰ play a key role in achieving UNICEF vision in each country. UNICEF seeks to foster change on strategic priorities by influencing decision-makers at global, regional, and national levels to take positive action to advance children's rights and their development opportunities. The vision is of data-driven, evidence-based advocacy strategies that guide strategic engagement which influences policy and financial decisions.

181. UNICEF regularly adapts its communication and advocacy strategies to respond to changing priorities. For the 2022-25 period UNICEF commits to:

- Evidence-based advocacy including policy dialogue, strategic influencing, engaging with children and young people and working in partnerships and coalitions
- Strengthen its leading voice for children and to grow its supporter base through traditional and digital media and state-of-the-art content and engagement strategies, and by building awareness of and trust and affinity with the UNICEF brand in all countries

182. The Division of Communication (DoC) leads UNICEF efforts to win support for the cause of children from decision makers and the wider public, including children and young people. In the 2018-2021 Strategic Plan, UNICEF identified communication and advocacy as essential for achieving programmatic goals and formalised this in the Global Communication and Advocacy Strategy (2018-2021). This followed on from the first advocacy strategy, Communicate to Advocate for Every Child: UNICEF Global Communication and Public Advocacy Strategy 2014-2017.

183. In 2019, communication and advocacy were further integrated into UNICEF programming at the global, regional, and country levels. Notable achievements include the Global Advocacy Framework, Global Content Strategy, a cross-divisional Advocacy Task force, the Advocacy Capacity Building Initiative, Thematic Advocacy, and the new Advocacy Portal. The Cause Framework is also noteworthy in its strong and successful focus on youth engagement. DoC's campaign Generation Unlimited (GenU) developed a youth engagement and participation strategy.

184. Advocacy's key role in driving results is however not without challenges. In 2019 it remained constrained by a lack of investment and prioritization as outlined in the DoC's annual report. In 2018, the Global Management Team endorsed some recommendations on strengthening advocacy. DoC stated in its 2019 Annual Report that with additional resources, it could invest in advocacy M&E definitions and systems to better support colleagues. That it would also mainstream advocacy through the country programme planning and implementation process. It recognizes the

²⁰ Advocacy and communications: advocacy, communications, and brand building with and for children and young people to support partnerships, resource mobilization and programme delivery to advance child rights and the related Sustainable Development Goals. (HQ\3. ToC, SP, 2022-2025: 19 - 19)

importance of supporting national level change with global and regional advocacy efforts. Most advocacy wins are secured at the national level.

185. UNICEF understands that more strategic and integrated advocacy and communication makes a difference. The data companion of the Mid Term Report from the last Strategic period reported an overall improvement in the percentage of countries who changed to child-focused policies.²¹ It stated that UNICEF-led advocacy campaigns and related programme strategies contributed to this change. In 2020, UNICEF introduced four global advocacy priorities, focusing on Vaccines, Education, Mental Health and Water and Climate. At the outset of the pandemic, UNICEF introduced a global COVID-19 Advocacy Framework that was backed by 172 Member States. Since it was introduced, eighty-one per cent of countries have made positive changes in national child-focused policies as outline in the UNICEF 2020 Annual Report.

Community Engagement, Social and Behaviour Change

186. Community Engagement (CE), Social and Behaviour Change (SBCC) approaches and Communication for Development (C4D) interventions represent a pivotal change strategy that cuts across all of UNICEF Goal Areas and with potential game-changing impact. They are actively used in both development and humanitarian contexts. UNICEF uses CE and SBCC to work with children, adolescents, families and communities, public and private sector, as proactive partners, and agents of change to strengthen resilience and bring about normative and tangible change in children's lives.
187. Strategically, CE works at the intersection of children and youth participation, community systems strengthening, accountability to affected populations and C4D, thus there is no specific 'owner' of the CE and SBCC agenda. The 2020 MTR of the SP 2018-2021 showed that UNICEF had only one indicator measuring C4D results lagging by 50% of its 2021 target. It also showed that only 31% of COs routinely engage children in their planning, implementation, monitoring and evaluation of programmes thus missing the 60% target.
188. The COVID-19 pandemic has shown how children, especially girls, were exposed to increased harmful practices and unsafe and unhealthy environments with detrimental consequences to their health, safety, and empowerment. Despite the pandemic significantly reducing opportunities for community access and engagement, UNICEF has pivoted interventions as outline in the SP Common Chapter, adapting programming to support the global COVID-19 response, strengthening community-based and digital solutions to support protective health behaviors, continue the prevention of harmful practices such as FGM and child marriage and upholding commitments to leave no one behind. It has also strengthened coordination with other UN agencies, running virtual community platforms to collect views on key topics, such as the impact of COVID-19 on the SDGs, climate and environment and gender equality.
189. Under the new SP, CE and SBCC approaches are expected to produce medium-term level outcome changes in terms of "changing harmful social and gender norms; supporting positive behaviors (e.g., positive parenting, health-seeking behaviors); supporting community engagement to ensure people - centred development, crisis response and recovery". Key expected interventions under this area include: promoting parenting and co-parenting in early childhood development; supporting consumer associations and girls and women's network to strengthen health access and nutrition; promoting demand-side education access by reinforcing the importance of education; strengthening engagement – including through digital platforms - for

²¹ The percentage increased from a baseline of 77 per cent in 2017 to 92 per cent in 2018, but later fell to 87 per cent in 2019.

child, youth and especially adolescent girls' participation to elevate their voices in community decision-making, including addressing child protection concerns, harmful practices (FGM, child marriage etc.), climate change and access to menstrual health management and WASH; and empowering parents towards accountability to poverty reduction strategies. In the global Gender Strategy and Action Plan, CE and SBCC are pivotal to addressing harmful social norms, tackling inequalities and empower girls, women, and disadvantaged groups.

Data, Research, Evaluation, and Knowledge Management

190. The SP presents data, research, evaluation, and knowledge management as a prioritized change strategy. At inception stage, the EAFE rapidly reviewed an initial 26 documents relevant to this change strategy. The documents included strategies and frameworks; documents relating to UNICEF Division of Data, Analytics, Planning and Monitoring (DAPM) and DRP; guidance, tools, and case studies; evaluation and reviews; and regional office reports from 2018 to 2019.
191. The initial review found that UNICEF specifies data, research, evaluation, and knowledge management as a change strategy but may lack clarity on its precise meaning as an integrated function. The initial review found no explicit definitions for data, research, evaluation, and knowledge management as such. In 2015, the Office of Research defined research as 'the systematic process of the collection and analysis of data and information, to generate new knowledge, to answer a specific question or to test a hypothesis'. It defined evaluation as 'a systematic and objective effort to determine the relevance, appropriateness, effectiveness, efficiency, impact and sustainability of development efforts, based on agreed criteria and benchmarks among key partners and stakeholders.' And it spoke of research, evaluation, data collection and analysis collectively as 'evidence generation activities.'²²
192. The initial review found that UNICEF emphasizes the importance and utility of data, research, evaluation, and knowledge management. The SP highlighted its importance for coherent implementation, as 'key to linking upstream and downstream work to ensure that the policies UNICEF promotes are in fact changing lives on the ground and that UNICEF is providing critical information that can further inform policy and programme design.' The ToC highlighted the role of generating, applying, and sharing evidence 'to support policies, planning, partnerships, resource mobilization, decision-making and programme delivery.'
193. The review found UNICEF has multiple ambitions for data and information management, evidence generation and utilization, and monitoring and evaluation. Regarding data, the SP commits to strengthening robust national monitoring and making data available in real time, while the ToC highlights four focus areas for UNICEF data activities. Regarding evidence, the SP commits to making better use of evidence to inform policies and programme delivery, and the ToC highlights its importance, notably, in support of Goal Area 2. Regarding M&E, the SP commits to a renewed focus on quality, learning, feedback and use of monitoring information, and a revised approach to results-based management 'focused on tracking the extent to which its efforts catalyse transformative and systemic change at the outcome level, in addition to monitoring and reporting on how efficiently and effectively it delivers on its own outputs.' To this end, the SP speaks of using monitoring information, internal reviews and evaluations, and continual learning (incl. adaptive management). Regarding research, the SP is less explicit.
194. The review found that UNICEF plans for Division of Data, Analytics, Planning & Monitoring (DAPM), Office of Research-Innocenti, and Evaluation Office to play important and related roles. The Integrated Budget 2022-2025 states that the DAPM enables UNICEF to deliver results based

²² UNICEF Procedure for QA in Research 2015

on data, evidence and analysis and the application of human-rights- and results-based management approaches; corporate evaluation function guides programming and decision-making by providing an impartial assessment and validation of the organization's strategic choices, programme performance and results for children, and feedback on operational effectiveness and efficiency; the Office of Research - Innocenti aims to respond to the role of research in answering the most pressing questions facing children, find solutions that help to realize their rights under the Convention on the Rights of Child, accelerate progress towards achievement of the Sustainable Development Goals, and contribute to the achievement of the Strategic Plan.

195. According to its annual report for 2019, DAPM was established in 2019 and brings together the former Field Results Group, Planning, Monitoring and Reporting of the UNICEF Strategic Plan, the Data & Analytics team, and the Learning & Knowledge Exchange team. It also became part of the 'Programme Cone', along with Programme Division and EMOPS, and has an important role in bringing the work of the several organizational cones together. During 2019, it made progress on these areas:

- Increased availability statistics on children, women, and their families
- Progress with analysis of statistics for situation monitoring and tracking progress towards child-related SDGs
- Enhanced use of data and statistics by internal and external audiences
- Improved processes for implementation, monitoring and reporting of the UNICEF Strategic Plan
- Enhanced processes and performance management tools for programme implementation, monitoring, and reporting
- Reinvigorated tools for country programme planning
- Increased use of tools and materials for learning & knowledge exchange

196. The review found that UNICEF has produced useful tools, guidance, and learning materials that seem relevant to data, research, evaluation, and knowledge management. The Office of Research has produced for example, a UNICEF procedure for Quality Assurance in Research (2015), a UNICEF Research Policy (2016), Ethical Standards for Evidence (2021), and a Report on the Best of UNICEF Research (2019), presenting cases of research that shaped policies and programmes at different levels.

197. The review found UNICEF has assessed its use of evidence as a driver of change for children in the previous SP. The Evaluation of the UNICEF Strategic Plan 2018-2021 found the use of monitoring data was complicated by RBM challenges and disparate data collection and monitoring systems that limited generation of information and evidence for programming, advocacy, innovation, and resource mobilization. It also found that all Country Programme Documents (CPDs) include M&E sections and intent to work with government partners to improve data quality, but there were concerns about CO production and use of data; whereas COs felt burdened by HQ reporting requirements and lack of analytical evidence for decision-making shared back from the data they collect. Further, it found the SP committed to reinforcing research but had little influence on advancing the use of research to inform programming or facilitating research partnerships

Digital Transformation

198. Digital technologies offer enormous potential for UNICEF and its partners. The Strategic Plan 2022-2025 recognizes this potential "Current technologies make it possible to leapfrog traditional

development trajectories, to make life better for more children faster than ever”. The context around UNICEF and the broader UN Family is transitioning to a digitally based environment at pace, making it critical that the UN Family have a good, shared understanding of where they can best contribute and how to configure services so that promise can be realized, and the perils avoided. The eight key Areas of Action (Secretary General’s High-level Panel for Digital Cooperation) were formulated to help guide organisations and practitioners:

- Achieving universal connectivity by 2030
- Promoting digital public goods to create a more equitable world
- Ensuring digital inclusion for all, including the most vulnerable
- Strengthening digital capacity-building
- Ensuring the protection of human rights in the digital era
- Supporting global cooperation on artificial intelligence
- Promoting trust and security in the digital environment
- Building a more effective architecture for digital cooperation

199. The COVID-19 outbreak has been a catalyst for the adoption of remote working and uptake of digital technologies to afford minimal disruption to, continuity of, or indeed enhancement in existing ways of working. The sudden and global unanimity in this area afforded a focus on digital solutions like never before, with organisations across the globe investing resources into scoping, adopting, and refining tools to meet their immediate needs. UNICEF responded to this challenge in adapting the way it provides digital support internally and to partners, with a view to sustaining the most useful digital practices; “UNICEF has accelerated its transformation into a digital organization – from the upscaling of digital teleworking practices to the use of innovative technologies in its programmes, finance and operations.”²³
200. In some cases, delivering and engaging digitally shifted from becoming *one way* of delivering services, to the *only way* of delivering services. As the world moves out of the emergency period, UNICEF recognizes the enormous potential these technologies hold, but also that they must once again only form a subset of the service options available to recipients, alongside traditional analogue programming. “It will also ensure that interventions remain appropriate to context, and that low- and no-tech solutions better suited to reaching the most vulnerable student populations are not deprioritized or overshadowed by tech-heavy and expensive interventions.”²⁴
201. Where digital technology solutions are appropriate, UNICEF further recognizes that these must be responsibly managed to ensure the intended outcomes and minimize risks “...investing in digital transformation to improve programming and operations, while addressing the opportunities and risks for children that are inherent in an increasingly digital world”.²⁵ Each initiative can be considered a trade-off between the value add; at scale delivery, remarkable efficiency gains and consistency in application, and understanding the unintended consequences or potential for misuse; via the protection of digital identities and personal data, parity in digital service delivery, maintaining adequate support for all, appropriateness in messaging, ownership, and continuity, and so forth.
202. UNICEF has a dedicated Information and Communication Technology Division (ICTD), formed in 2017. This team was evolving before the COVID-19 pandemic hit, already underway with the transition from provision of internally focused operational support, towards improving the

²³ Harnessing the Power of Technology and Digital Innovation for Children 2021

²⁴ UNICEF Strategic Plan 2022-2025

²⁵ UNICEF Strategic Plan 2022-2025

effectiveness and efficiency of UNICEF programmes across the organisation. This represents a shift in positioning for technology, as ICTD helps UNICEF move from a centralized, reactive, back-office support function towards a decentralized, better integrated, digitally equipped, and enabled programming unit. Digital technology is becoming a tool on the toolbelt, rather than a specialized ‘call-out’ service, often brought in once the programming requirements have been set out.

203. Practically this includes the design and development of services, often in partnership with others. It also means working with partners to establish the critical architecture ‘to enable’ the technology aspect, for example building national enabling environments, provision for scale up, strengthening coordination across platforms, and enhancing digital public goods. Partnerships have clearly been vital to the success of digitally based services. Each initiative specifically references the collaboration which made it possible, and in many cases, this is the national government; Jordan, Cambodia, Malawi, Indonesia to name a few.
204. Moreover, digital transformation features in relation to several Goal Areas in the Strategic Plan, helping to frame clear tangible linkages and ways forward on responsible roll out of digital technologies, linked to broad areas of responsibility to enhance areas of work.
205. “Building on efforts to reimagine education in the wake of COVID-19, UNICEF will focus on equitable access to digital learning solutions and connectivity, while engaging children, families, parents and communities to strengthen accountability. The organization will support teachers’ development and the scale-up of accessible, online and offline digital content and platforms, including through partnerships with mobile companies and other relevant business sectors, as well as improve in-person learning opportunities”.²⁶
206. “Goal Area 3 will contribute to protection from sexual exploitation and abuse, an organization-wide responsibility, by scaling up safe and accessible reporting channels, survivor-centered assistance, and strengthened accountability for child survivors, including in humanitarian crises and fragile settings”.²⁷

Gender Transformative Programming

207. The Strategic Plan 2022-2025 reiterates that gender equality remains at the core of everything UNICEF does with gender responsive planning and programming a core focus across all sectors. The Strategic Plan informed by the mid-term review of Strategic Plan 2018 -2021, and the Gender Action Plan evaluation, [UNICEF Policy on Gender Equality and the Empowerment of Girls and Women \(2021\)](#) and aligned with SDG 5: *Achieve gender equality and empower all women and girls* emphasizes “bold, transformative change” to address structural and norm change to transform the drivers of gender inequality. Furthermore, COVID-19 has compounded the economic challenges faced by women and girls, reinforcing the social norms that underpin them. Feminized sectors have been hardest hit by unemployment during COVID-19, and it is estimated that 47 million more women will be driven into extreme poverty in 2021 as outline in the SP 2022-25 ToC. Addressing gender and equity issues in development, humanitarian, emergencies have become increasingly urgent.
208. Gender equality is a complex and gradual journey (see Figure 5) and this section describes numerous examples that illustrate UNICEF commitment to gender equality. The next section describes gaps in programming that would be critical to address to ensure that programming is

²⁶ UNICEF Strategic Plan 2022-2025

²⁷ UNICEF Strategic Plan 2022-2025

gender transformative. These examples are illustrative of some of UNICEF foundational work on gender equality and on which UNICEF can strengthen gender transformative programming.

- UNICEF Strategic Plans are developed alongside Gender Action Plans which cover the same periods and seek to ensure that gender mainstreaming occurs across the UNICEF portfolio
- To keep the spotlight on gender equality and prevention of gender-based violence throughout 2020, UNDP and UN-Women launched the COVID-19 Global Gender Response Tracker, a data and informational tool featuring 3,000 policy measures in 219 countries and territories
- UNICEF has been a leader in the field of gender-based violence in emergencies (GBViE), delivering high-quality, innovative programming, leading multiple coordination mechanisms, and playing a central role in developing all the seminal guidance of the GBViE sector.
- As part of the annual quality assurance of Programme Strategy Notes and Country Programme Documents, an assessment is made on whether human rights and gender equality are adequately addressed in these documents.
- Where GPRs were implemented, attention to gender equality in country planning increased. Expenditure on gender-related issues also increased over time, approaching the 15 per cent self-determined target in 2019
- Preventing sexual exploitation and abuse remains critical though UNICEF has made progress in developing practices and systems for PSEA, implementing them in 54 country offices and conducting mandatory training of 96% of its staff
- Country offices also engage in Gender Programme Reviews (GPRs) to refine visions and prioritize investments across Regional Flagship Results and in developing Country Programme Documents (CPDs)
- Countries promoting gender-sensitive or – responsive programmes or systems tripled compared to 2019 – demonstrating growing attention to the needs of women and girls, including the need to transform harmful gender norms and other gender outcomes
- Fifty members of the UNDS, including UNDP, UNFPA, UNICEF and UN-Women worked to mainstream gender equality into the progress review of the United Nations Plan of Action on Disaster Risk Reduction for Resilience
- In its second year of implementation, Spotlight Initiative stakeholders continued to demonstrate commitments to United Nations reform principles and innovation in leveraging the flagship programme to accelerate the Sustainable Development Goals and eliminate all forms of violence against women and girls
- Based on data and evaluation findings, the UNICEF-UNFPA joint programmes on FGM and child marriage will extend learning and technical support to additional countries.
- UNICEF has improved its performance on the United Nations System-Wide Action Plan on Gender Equality and the Empowerment of Women benchmarks from a baseline of 73 per cent in 2017 to 82 per cent in 2019, with the most marked improvements in gender expenditure and overall gender parity. Programmatically, UNICEF made significant progress in addressing gender-based violence, menstrual health and hygiene (MHH), child marriage and quality maternal care.

209. However, several challenges and gaps were also noted:

- For education, gender has been consistently mainstreamed in needs assessments, planning, and reporting, and in global tools and frameworks, but some vulnerable groups have been insufficiently prioritized in programming, with some programmes falling short as regards children with disabilities, children in pastoralist communities, over-age students and girls facing child marriage, as outlined in the evaluation of education in humanitarian settings (2019).
- In terms of health, the Health Systems Strengthening (HSS) approach paper (2019) makes little mention of gender beyond the need to disaggregate data. Country offices recognized the need to strengthen the integration of gender issues into HSS and struggled to find models and successful examples of gender-transformative approaches. Where gender is taken up in relation to systems strengthening, it is often part of a multi-sectoral approach. Others noted that, while equity is emphasized in the language and tools, there is more work to do to translate this into consistent practice.
- Humanitarian action, which represents half of UNICEF programmatic spending, and is a cross-cutting area of the strategic plans, is mentioned in both Gender Action Plans (GAPs) but lacks dedicated attention or specific strategies. Review of corporate documentation on humanitarian programming also reflected very limited attention to gender equality, although UNICEF had in early 2019 recruited an Emergency Response Team Specialist with gender expertise.²⁸
- In emergencies, gender responsiveness has often focused on gender-based violence programming, where specific funding is some-times available, but gaps are still evident. In the COVID-19 response, only 1 per cent of all COVID-19-related funding has been allocated to gender-responsive priorities. Addressing the humanitarian-development nexus, there is little evidence that UNICEF is working to link its gender-sensitive humanitarian programming with its gender-sensitive development programming. Gender advisers are rarely well enough connected with emergency teams to ensure that emergency programming is gender responsive and linked to gender-responsive development programming. The evaluation found that in more development-oriented contexts, gender specialists and focal points are more focused on policy and advocacy.²⁹
- While UNICEF had gathered a considerable body of evidence on its previous humanitarian action, gender had not been a key enquiry area. The ‘Synthesis of UNICEF Evaluations of Humanitarian Action 2010 – 2016’ (which covered 30 humanitarian evaluations 2010-2016) considered gender under the cross-cutting issue of equity and found gender to be one of the identified gaps. There were clear gaps or weaknesses in UNICEF implementation of Accountability to Affected Population (AAP) commitments, although there was also evidence of gradual improvement in some areas. UNICEF did not have evaluative evidence on its gender performance in past health emergencies. The ‘Evaluation of UNICEF response to the Ebola outbreak in West Africa 2014–2015’ did not consider gender-sensitive responses or place gender in the evaluation framework. Gender was also not considered in the key guiding questions in the ‘UNICEF Response to the Cholera Outbreak in Yemen’ evaluation in 2018.
- The GAP Evaluation clearly indicated that rising to the challenge requires not small-scale adaptation but a significant shift in UNICEF aspirations for gender equality, and a much more assertive and comprehensive approach. Other issues that were pointed out were

²⁸ HQ\184. Formative Evaluation of UNICEF Work to Link HDN: 81 - 81

²⁹ HQ\184. Formative Evaluation of UNICEF Work to Link HDN: 83 - 83

inconsistent/unclear gender-related concepts and terms within the GAPs - either lack definition – such as ‘empowerment’, which is not defined in either GAP – or are inconsistently defined, such as ‘transformational’. Sometimes ‘gender’ was interpreted as ‘equity’, ‘equal numbers’, or ‘vulnerability’ and/or undertaking sex-disaggregated analysis. This is problematic in a large, decentralized organization like UNICEF.³⁰

- UNICEF has clear policy and guidance on gender responsiveness, inclusivity, and disability sensitivity. In practice, however, this guidance has not consistently resulted in strong gender and disability responsive programming in humanitarian contexts, protracted crises and contexts affected by fragility and conflict. Disability sensitivity was noted as a newer area that UNICEF is increasingly focusing on, and for which new training and guidance is currently being rolled out.³¹
- Recommendations made in the independent evaluation of the UNICEF two successive Gender Action Plans during the period 2014–2019, indicated the need for greater investment in gender transformative programming. The evaluation findings highlight positive gains made over the past four years, including informing UNICEF programmatic efforts on gender integration and target gender results, as well as investments in HQ/RO/CO gender architecture and monitoring mechanisms. The evaluation also noted the limited gender investment beyond gender-based violence (GBViE) in humanitarian programming, and the need to invest in gender capacity as well as more transformative programming.
- The new UNICEF strategic plan 2022-2025 includes gender transformative programming as a change strategy, and the new 2021 UNICEF Gender Policy commits to “a bolder and more ambitious vision for gender equality and the empowerment of all women and of children and adolescents” and reiterates the “centring of gender equality”.
- The UN system is increasingly aligned around the Gender Continuum. This characterizes programming on an ascending five term scale: Discriminatory/Unequal; Blind; Aware/Sensitive; Responsive; Transformative and provide a framework to evaluate to what extent interventions address gender inequality.

³⁰ UNICEF (HQ\197) GAP Evaluation Final (3): 11 - 11

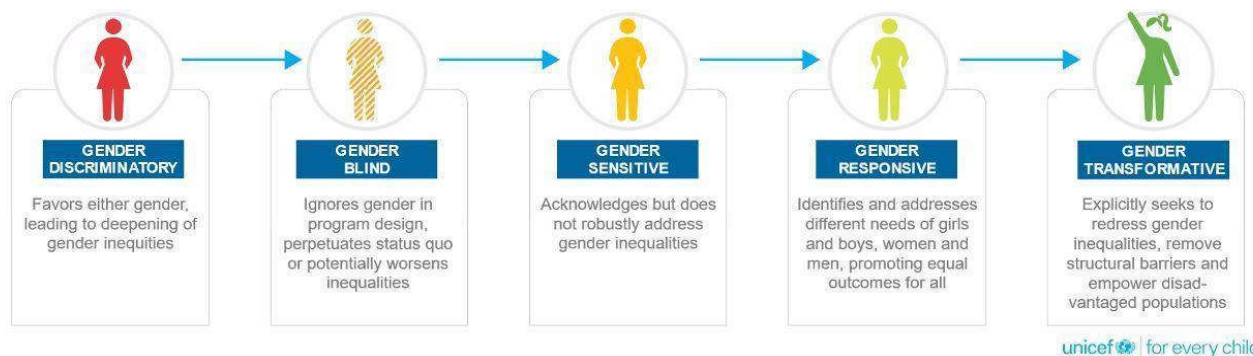
³¹ HQ\184. Formative Evaluation of UNICEF Work to Link HDN: 14 – 14

Figure 5: Gender Continuum

BUILDING BACK BETTER USING TRANSFORMATIVE APPROACHES

Gender-transformative programming tackles root causes of gender inequality and moves beyond self-improvement among girls and women to **address power dynamics and structures** that reinforce gender inequalities

UNICEF applies the **Gender Continuum diagnostic tool** to **evaluate the effectiveness** of a development or humanitarian intervention in addressing gender inequalities in program design, implementation, monitoring or evaluation



210. The UNICEF Strategic Plan 2022-2030 intends to work to define transformative approaches within its organizational context; prioritize normative and structural change, grounded in and alongside rights-based approaches; and embrace intersectionality, a life-course approach and deepen its work to empower adolescent girls.
211. Operationally, this will mean that UNICEF will advocate for and advance gender related policies, budgets, strengthen monitoring and evaluation systems to collect sex-disaggregated data and work at systems level for capacity building and supporting women’s voices and decision making.³² Externally, UNICEF may forge/strengthen partnerships with other organizations and agencies (including UN agencies such as UNFPA and UNWomen) that have a long track record of working on gender inequality and gender transformation and synergize efforts.

Innovation

212. UNICEF recognizes the pivotal role of innovation to support the development and scaling of new solutions to leapfrog traditional development trajectories and catalyse the achievement of results to improve children’s life.³³ In previous periods (2014-21), UNICEF strategic intent was to build on innovation as a key tool to achieve results for children. However, according to the evaluation of the strategic plan 2018-2021, the organization’s ability to innovate was affected by aspects of its culture, organizational structure, and its organizational system.
213. Starting from 2019, UNICEF committed to make innovation a more effective change strategy to accelerate programme results in priority areas, including through the establishment of the Office for Innovation and the Innovation Fund, increased efficiencies through the Global Shared Services Centre and the development of innovations and ICT strategies aimed at enabling results through

³² HQ\3. ToC, SP, 2022–2025: 13 - 13

³³ UNICEF, 2021. Theory of Change, UNICEF Strategic Plan, 2022–2025

technology.³⁴ Following recommendations from the 2019 evaluation, UNICEF initiated structural changes, introduced a portfolio-management approach,³⁵ and launched the first Global Innovation Strategy in the beginning of 2020 (UNICEF Annual Report 2020). The innovation strategy has four focus areas: digital innovations, physical product innovations, innovative financing, and programme innovations.³⁶

214. Technology and Innovation for development are becoming more and more prominent in the context of accelerating results towards the SDGs. In this regard, Innovation is one of the key change strategies in the UNICEF Strategic Plan 2022-25. The 2022-2025 Theory of Change sets out UNICEF innovation and digital transformation strategy in relationship to each of the five programmatic Goal Areas, detailing for each of them how the organization will use innovation and technology to achieve better results for children across health and nutrition, education, child protection, WASH, climate change and environment, and social protection.
215. Further, the Strategic Plan recognizes the pivotal role of innovation in emergency settings, especially in relations to recent events and the COVID-19 crisis. The role of innovation has been fundamental in global COVID-19 response, including for example to produce innovative vaccine technologies in record time, strengthening health systems, scaling up digital learning and health care, amongst others. UNICEF response to COVID-19 called attention to several opportunities that can be built upon, as well as gaps that must be addressed to tackle pressing challenges and inequalities.³⁷
216. In the current Strategic Plan, UNICEF approach to innovation encompasses new technologies, product, and process innovations, as well as new approaches in policy, financing, and business models. Within UNICEF organisational structure, the Office of Innovation is being reinforced to accelerate the scale up of innovations for children and support the SDGs. The office priorities for 2022–2025 include (i) reinforcing UNICEF programme leadership on innovation; (ii) renewing the role of UNICEF as an implementer of at-scale innovations; and (iii) establishing UNICEF as a leader on innovation for children and young people.³⁸ Within UNICEF organisational structure, the Office of Innovation is being reinforced to accelerate the scale up of innovations for children and against the SDGs. The office priorities for 2022–2025 include (i) reinforcing UNICEF programme leadership on innovation; (ii) renewing the role of UNICEF as an implementer of at-scale innovations; and (iii) establishing UNICEF as a leader on innovation for children and young people.³⁹
217. With reference to its evaluation function, the UNICEF Evaluation Policy promotes the use of evaluations and knowledge management through innovative approaches, as well as innovative approaches and methodologies for evaluation, especially for improving the timeliness of evaluations (UNICEF Evaluation policy).

Partnership and Engagement – Public and Private

218. Public, private, and global partnerships lie at the heart of UNICEF 2022-2025 Strategic Plan. Partnerships are an indispensable dimension of expanding UNICEF influence. Given the current global context – the COVID-19 pandemic, economic recession and reduced official development assistance - UNICEF regards innovative partnerships and resource mobilisation as essential for

³⁴ MOPAN Assessment UNICEF 2020

³⁵ Midterm Review Strategic Plan 2020

³⁶ UNICEF Strategic Plan Evaluation Report

³⁷ UNICEF, 2021. UNICEF Strategic Plan 2022-2025

³⁸ Integrated Budget 2022-2025

alleviating resource gaps and achieving both the 2022-2025 Strategic Plan goals and the Sustainable Development Goals.

219. UNICEF has a wide and varied portfolio of partnerships, which it honed during the 2018-2022 strategic period. It works with a range of public and private sector actors including multilaterals, national governments, businesses and the private sector, international human rights mechanisms, and individuals. During the current strategic period, UNICEF partnerships are focused on capacity building and influencing both the public and private sector's policies and actions to better support children and promote their rights.
220. At the global level, The Public Partnerships Division is responsible for expanding UNICEF partnership base and conducting policy advocacy with Member States. At regional and country-level the communications and advocacy teams work with Regional Directors and Country Representatives to promote and manage public partnerships and expand innovative financing.
221. Private partnerships allow UNICEF to leverage financing, innovation, and knowledge to support its programming.⁴⁰ In line with the wider UN Development System Reform Agenda, UNICEF aims to strengthen its engagement and partnership with the private sector. To date this has been supported through the UNICEF Private Sector Plan 2018-2021, which focused on partnerships with individuals, key influencers, business, and governments. Since 2014, private sector regular resources have grown by 20 percent.⁴¹
222. UNICEF also intends to expand its engagement with businesses and support partnerships with the private sector as an 'innovator and investor' to deliver results for children.⁴² This is supported through UNICEF Business for Results (B4R) agenda which encourages country and regional offices to 'mobilise business investment, influence, conduct, expertise and market reach' in programme areas. While implementing B4R has begun, significant progress is required to implement it consistently across all UNICEF regions and strengthen UNICEF culture and capacity for private sector engagement.⁴³, in particular those regions with less mature market conditions.⁴⁴ Critically, significant skills development is needed for UNICEF staff at all levels to successfully implement B4R. Organisational change is required more broadly, including culture change and new systems required for UNICEF to successfully engage with the private sector.⁴⁵
223. Furthermore, UNICEF leads several global partnerships aimed at mobilising resources across its strategic plan areas. In general, global partnerships have increased in prominence and particularly since 2016 when there was a significant increase in donor-committed funds. In 2020, the COVID-19 response also drew a record level of funding for such partnerships.

Risk Informed Humanitarian and Development Nexus Programming

224. UNICEF recognized the need to strengthen the humanitarian–development nexus within the 2010 The Core Commitments for Children in Humanitarian Action. This acknowledged the link between humanitarian action and development and provided an explicit focus on disaster risk reduction. The scope of this included preparedness for rapid response, commencing early recovery in parallel with humanitarian response, and supporting self-initiated recovery actions by affected populations. UNICEF has continued to refine its strategic approach. A 2016 UNICEF study on linking development and humanitarian programming further examined the nexus. This argued that

⁴⁰ UNICEF (2021) UNICEF Strategic Plan 2022-2025

⁴¹ UNICEF (2017) Integrated Budget 2018-2021

⁴² UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2026

⁴³ UNICEF (2020) Evaluation of the UNICEF Strategic Plan, 2018-2021

⁴⁴ UNICEF (2021) Readiness Assessment: Business for Results

⁴⁵ UNICEF (2020) Evaluation of the UNICEF Strategic Plan, 2018-21

development and humanitarian interventions would have to become more complementary to address the root causes of crises while protecting development gains. Elements of longer-term risk assessment, preparedness and capacity-building needed to be introduced into humanitarian responses, and elements of emergency preparedness and response into development programmes. UNICEF also has in place The Inter-Agency Standing Committee cluster approach which assigns lead roles in coordination efforts for certain sectors or areas of responsibility during emergencies. The cluster approach aims to address gaps in emergency responses and improve the quality of humanitarian assistance through greater predictability and accountability, as well as to strengthen partnership among humanitarian actors.

225. The UNICEF Strategic Plan, 2018–2021 articulated a strengthened commitment and institutional accountability framework for strengthening the linkages between its humanitarian and development mandates. An update on UNICEF humanitarian action with a focus on linking humanitarian and development programming was presented to the UNICEF Executive Board in February 2019. In 2019, UNICEF initiated a humanitarian review process to promote institutional change in the design and delivery of integrated humanitarian programmes. The review identified the top 10 barriers to the delivery of principled, timely and quality humanitarian action by UNICEF. The 2022 – 2025 Strategic plan has been developed not only to integrate the Core Commitments for Children in Humanitarian Action but is also the first Strategic Plan to systematically integrate a humanitarian lens into the analysis shaping its theories of change and consequent Results Framework.

226. Risk-informed humanitarian and development nexus programming across all contexts will contribute to crisis prevention and preparedness, building strong, resilient systems and strengthening social cohesion and accountability to affected populations. With its partners inside and outside of the United Nations system, UNICEF will work to make health facilities and schools climate -resilient and prepared for natural disasters and public health emergencies and will use conflict analysis to inform its programmes in education, health, child protection, social protection, and WASH, so that they do not exacerbate inequalities and rights violations that can lead to social tensions. The impact of COVID-19 on programming has been anticipated and is expected to be severe and long-lasting. In emergency, fragile and low-capacity contexts, UNICEF depth of field presence is a crucial asset that will enable it to respond effectively to both programmatic and policy needs in these contexts.

System Strengthening to Leave No One Behind

227. The UNICEF Strategic Plan 2022-25 outlines both UNICEF **universal** mandate to secure the rights of all children as well as a commitment to **prioritize those most at risk of being left behind**. However, perhaps the biggest challenge for COs in their efforts to ensure no child is left behind relates to the trade-offs and tensions between reaching the most vulnerable and achieving results at scale: a finding consistent with the MTR. Being efficient with donor money implies reaching the greatest possible number of children. Reaching the most vulnerable is, however, often more resource intensive. These objectives are inherently in tension with one another, and achieving the right balance between them is challenging, particularly in the light of resource constraints at CO level. The dilemma is often particularly acute in humanitarian contexts.⁴⁶

228. Overall, UNICEF needs to reinforce and further systematize its efforts to leave no one behind. The review of complex humanitarian responses and other sources of evidence have shown that the organization often struggles to strike the right balance between greater coverage, on the one

⁴⁶ HQ\24. 2434-UNICEF Strategic Plan Report: 27 - 27

hand, and reaching the most vulnerable, on the other. Greater conceptual clarity, supported by tools and approaches, is needed to define what equity and inclusion mean beyond equal access to services, so that equity approaches can contribute to systemic change.⁴⁷

229. **The 2030 Agenda** has placed equity at its centre by promising to “leave no one behind”, and this commitment is reflected in the UNICEF Strategic Plan, particularly through its approach to gender-responsive programming, humanitarian action and results for children with disabilities, among other areas. Non-discrimination being a guiding principle of all UNICEF work and resonating with its core focus on equity and inclusion, the Strategic Plan strongly argues for accelerating progress “two- to sevenfold”, to actively seek out and support children from the poorest, most marginalized and excluded groups, including children living in extreme poverty; children with disabilities; indigenous children; children belonging to racial, ethnic, religious and linguistic groups and migrant communities who experience discrimination; and children who are discriminated against for any other reason. The current addition of disability in the new strategic plan as a cross-cutting issue is evidence of a nuanced understand of who is being left behind. Further, the pandemic has compounded inequalities leaving many groups of children behind in urban and rural areas, humanitarian, and fragile crises as well as children living in least developed and low-income countries resulting in a “two-tiered” recovery. Addressing LNOB, in terms of **who** is reached and **to what extent**, is challenging but important. It will require contextual understanding and a targeted approach (in needs assessment, implementation, and monitoring) and reasonable and optimum outreach and scaling up (“two to sevenfold”) depending on the context.
230. For normative support around human rights, the normative agenda and leaving no one behind (LNOB), UNICEF continued to contribute to **United Nations reform** efforts focused on improving the human rights capacity available at the country level through the deployment of Human Rights Advisers, the delivery of trainings on the human rights-based approach, gender equality and LNOB and peer-to-peer support to resident coordinators and United Nations country teams. In addition, UNICEF contributed a child-rights focus to a guide on how to operationalize the LNOB approach, which was drafted and tested through pilot projects by three country teams.⁴⁸
231. Various **strategy formulations** (Child Protection Strategy 2021, UNICEF Strategy for Health 2016-2030, UNICEF Education Strategy 2019-2030, Core Commitments for Children, Program Framework Fragile Contexts) identify the urgent need to systematically meet the needs of the most vulnerable.
232. For example, UNICEF has developed a systematic approach to address inequities in health outcomes, based on a modified Tanahashi model that facilitates identification of supply, demand, quality and enabling environment bottlenecks to lifesaving interventions (services and behaviors) and the identification of evidence-based solutions to address them. This approach has been adopted throughout the organization through the Monitoring Results for Equity System (MoRES) programme guidance.⁴⁹ UNICEF has evolved by mainstreaming some of its elements into a more robust VISION and RBM approach.
233. Recognizing fragility as one of the most significant challenges to children’s rights, UNICEF will make **systems strengthening to leave no one behind a priority strategy**. This will entail strengthening the components, functioning, responsiveness, and accountability of systems, prioritizing the capacities of the social service workforce to better support communities, parents, caregivers, and children by ensuring access to timely, quality essential services and supplies,

⁴⁷ HQ\33. 2020-8-Midterm_reveiw_SP-ED_annual_report-EN-ODS: 26 - 26

⁴⁸ UN-System\283. 2020-EB6-QCPR-2020.05.15 : 7 - 7

⁴⁹ HQ\172. UNICEF Strategy for Health 2016-2030: 21 - 22

without discrimination. To note, priorities will include strengthening primary health-care systems to reach more children and families, especially in fragile settings; building countries' capacities to operate effective supply chains, including budgeting for preparedness to mitigate health-system shocks from emerging diseases; strengthening education systems to address the global learning crisis; promoting a whole-of-society approach to pandemic and epidemic preparedness; and strengthening national statistical and data systems. UNICEF has a long track record of work in fragile settings, and systems strengthening can build on lessons learned (an incremental approach) but it can also seize opportunities, such as those from the COVID-19 pandemic, to innovate and push the boundaries for transformational change. Striking a fine balance of risk and 'bold change' will be key.

234. The Strategic Plan emphasizes “**child-sensitive**” systems development and strengthening to leave no one behind.⁵⁰ **Children and young people** also echoed the need to address LNOB in the Global Outlook 2025 consultations stating the need for special measures to address systemic racism and gender inequality and ensure that children and young people with disabilities, those in rural and isolated communities, and those without shelter or family care, get the services, education and engagement opportunities that are their right.⁵¹
235. Evidence from several recent evaluations in humanitarian contexts consistently report a **lack of disaggregated data**. This makes the targeting the most vulnerable children and meeting their needs a challenge. There has been progress in several countries toward gathering the data required for effective programming to ensure no child is left behind. In countries with relatively good, disaggregated data, COs jointly with Government partners and donors can identify and respond to the needs of children living in extremely poor households, children belonging to vulnerable groups, and children at a disadvantage. Some Governments, particularly those facing humanitarian crises, are not able to collect disaggregated data.⁵²
236. Overall, to ensure that no one is left behind, UNICEF will focus on building back accessible, inclusive, and equitable systems, integrating gender equality commitments in programming and systems and investing in sex disaggregated data, and analysis as well as differentiated programming (such as the empowerment of adolescent girls).

Strategic Elements – Enablers

Accelerated Resource Mobilization

237. Unlike some other United Nations bodies, UNICEF is responsible for mobilizing most of its financial resources from voluntary contributions from Governments, inter-organizational arrangements, global programme partnerships, private organizations, and individuals. In 2019, these sources provided 97 percent of the \$6.4 billion available to UNICEF.⁵³ The organization is devising ways to draw on new sources of funding and advocate for regular resources based on its knowledge of what works best to leverage results for children to make the strongest contribution possible to the sustainable financing of the Sustainable Development Goals. Resources provided to UNICEF are categorized for budgeting and allocation purposes into three basic categories. “Regular resources” represent non-earmarked or ‘core funds’. “Other resources, regular” are

⁵⁰ HQ\3. ToC, SP, 2022–2025: 19 – 19

⁵¹ HQ\6. Engaging children young people SP: 8 - 8

⁵² United Nations Children’s Fund, ‘Annual Report on UNICEF Humanitarian Action’, UNICEF, New York, 2020

⁵³ 2434-UNICEF Strategic Plan Report, p. 36

earmarked to a greater or lesser extent and largely used in development programming, while “other resources, emergency” are earmarked for humanitarian responses. The first two years of the Strategic Plan 2018-2021 were characterized by steady growth in the overall level of financial resources available to UNICEF but a decline in regular resources.⁵⁴

238. In the new strategic plan 2022-2025, accelerated resource mobilization for UNICEF programmes will focus on maximizing flexible and predictable income, to enable faster, more effective, and at-scale delivery of results for children and humanitarian response. The efforts at accelerating resource mobilisation consider the potential impact of COVID-19 on resource mobilisation and the availability of funds. In this new plan, UNICEF will grow and sustain income from private and public sector partners as well as public -private sources – including Governments; bilateral and multilateral partners; United Nations joint programmes and pooled funds; individuals, including pledge, cash and legacy donors, and philanthropists; businesses; public-private pooled funds and innovative financing arrangements. Engagement with partners to close the funding gaps in the Strategic Plan, 2022–2025 will be accelerated, including advocacy for Member States to meet funding compact commitments of at least 30 percent of core resources (regular resources) by 2023, and increases in thematic funds.⁵⁵ Further, in the 2022 – 2025 Integrated Budget UNICEF is including a budgetary provision for private sector fundraising (PSFR) in the integrated budget, under special purpose activities. The resource requirements proposed under PSFR comprise the direct costs and investment costs supporting the fundraising and advocacy activities of the National Committees for UNICEF and UNICEF country offices. The appropriation for these resource requirements is presented for Executive Board approval annually, in conjunction with the Private Fundraising and Partnerships workplan and proposed budget.⁵⁶

239. The MOPAN 2020 assessment noted that UNICEF has a strong internal audit function that systematically investigates, and addresses concerns raised by internal control mechanisms. It has robust policies and procedures to prevent, detect, investigate, and sanction for all types of fraud and misconduct. The role played by this audit function in relation to resource shortfalls will be further reviewed as part of the Assessment.

Agile and Responsive Business Model

240. UNICEF have implemented a raft of organizational changes since 2010 to ensure continued relevance of the organisation’s business model. These include but are not limited to:

- The establishment of the Global Shared Services Centre in Budapest in 2016 to lead on back-office cost savings, support on operational reforms and business innovations, in conjunction with other UN Agencies and in line with the UNDS reforms
- A revised programme structure with a realignment of the allocation of work between programme and operations staff with operations staff providing greater support on implementation modalities and VFM
- Implementation of a new platform to harmonize business tools and performance systems
- The application of the International Public Sector Accounting Standards
- Improvements to the regulatory framework, accountability, and enterprise risk management system

⁵⁴ 2434-UNICEF Strategic Plan Report, p. 36

⁵⁵ UNICEF Strategic Plan 2022-2025, p. 20

⁵⁶ Integrated Budget 2022-2025, p. 7

- A new system (VISION) for managing financial resources and performance information implemented across the organisation and at regional and country levels
- The combining of the Programme Division and the Office of Emergency Programmes to help respond to issues that span the humanitarian-development nexus
- The reconfiguration of the DRP to the Division of Data, Analytics, Planning and Monitoring (DAPM)
- The establishment of the Partnerships Cone, comprised of the Division of Communications, Private Sector Fundraising and Partnerships (PFP) and Public Partnerships Division

241. Further changes have been implemented since 2020 under UNICEF Reimagining Business Models Project including a realigning of HQ and country office functions to enable more decisions to be taken closer to country programmes (CPs), providing technical assistance more effectively and optimizing country office structures and processes. The 2020 MOPAN Assessment found that UNICEF has maintained several of its key strengths including its highly decentralised organizational structure which supports decision making at country level, its operational ability to adjust and adapt to context (particularly humanitarian) and continued efforts to improve organizational efficiency and effectiveness. However, it was also found that the organizational structure is not fully aligned with the Strategic Plan, with the model's vertical hierarchy creating perceived siloes, complicating internal coherence and leaving accountability gaps. In addition, the GAP evaluation (2019) found that UNICEF shift towards a gender transformative approach across its work was not fully supported by changes in internal processes.

242. The latest SP and the Reimagining Business Models Project look to address several of these issues, setting an agile and responsive business model as central to UNICEF becoming more adaptable and able to operate in increasingly complex contexts. The SP states that several organisational processes and systems will be simplified and automated, planning and budgeting processes revised, and global, multifunctional technical teams established to enhance networked ways of working whilst the GSSC seek to continue reducing administrative overheads. The MOPAN 2020 Assessment noted that this was a key opportunity to ensure the organisation becomes more technologically adept, address the siloes created by vertical accountability lines and consolidate efficiency gains made by simplifying planning and budget processes.

Decentralized and Empowered Internal Governance and Oversight

243. The SP presents 'Decentralized and empowered internal governance and oversight' as an organizational performance enabler. At inception stage, the EAFE rapidly reviewed 36 documents relevant to this enabler. They included eight intentional documents, strategies, and plans; four policies and accountability frameworks; seven annual reports from headquarter offices and regional offices; and ten evaluations and reviews.

244. The initial review found a clear definition of this performance enabler and its purpose. The SP states that, 'Decentralized and empowered governance and decision-making will strengthen the accountability of individual staff members to deliver results for children. Oversight and decision-making will follow the principle of subsidiarity (i.e., making decisions closest to where they need to be made).' The ToC goes further to list a range of principles that underly all UNICEF activities and change strategies, namely human rights, humanitarian principles, do no harm, accountability, non-discrimination (leave no one behind, equity, inclusion), anti-racism, gender equality, equitable access.

245. With regard to accountability, reference is made to UNICEF various organization-wide policies and accountability frameworks. These include governance arrangements and accountabilities to

the Executive Board, the Core Commitments to Children in humanitarian action (2020), the Country Programme Cycle at country level, and a range of policies in different thematic and functional areas, such as Research (2016) and Evaluation (revised 2018). Concerning financial accountability, the 2020 MOPAN assessment found that UNICEF financial accountability, including auditing, internal controls, and anti-fraud practices, met the highest standards.

246. Regarding decentralization, UNICEF organizational structure, roles and responsibilities remained under review. The Integrated Budget 2022-2025 specified the roles of UNICEF various headquarters sections and programmes, but the MOPAN assessment noted UNICEF was implementing change initiatives to 'reimagine' a more nimble and agile organization, realigning headquarters and country office functions to enable more decisions to be taken closer to country programmes (CPs), providing technical assistance more effectively, and optimizing country office structures and processes. UNICEF has a highly decentralized organizational structure which supports relevant decision making at country office (CO) level, but MOPAN also noted that 'vertical chains of command were perceived to create siloes, complicate corporate coherence and leave accountability gaps, particularly at headquarters level.'
247. Regarding risk management, we found reference to UNICEF reinforced systems for managing strategic, programming, and operational risks. MOPAN found that UNICEF had strong processes to manage operational and strategic risks, with a new enterprise risk management policy and framework that requires country programmes to adopt 'risk-informed' programming which is more consistent and better aligned to strategy. Several evaluations elaborated on UNICEF progress in risk-informed programming.

Dynamic and Inclusive People and Culture (i.e., Human resources Management)

248. Through a series of reports commissioned in the period 2018–2019 by the Executive Director, UNICEF identified an urgent need to strengthen its organizational culture, to ground it more firmly in its core values and in the International Civil Service Commission Standards of Conduct for the International Civil Service and to ensure that all UNICEF workplaces maintained and promoted a culture of zero tolerance for all forms of discrimination, abuse, exploitation, harassment and abuse of authority.
249. UNICEF has invested considerable effort in building a positive work culture; introducing measures including a new competency framework, grounded in the core values; more mediators to help resolve interpersonal conflicts; strengthened investigative capacity; increased training in management skills for staff in supervisory roles; the introduction of new national-staff professional-development programmes; and more opportunities for staff engagement on organizational culture. UNICEF launched a strategy on the prevention of sexual exploitation and abuse, with trainings for staff, and strengthened internal vetting during recruitment, including through the United Nations system-wide Clear Check database. Stronger, more coherent internal communications are envisaged to underpin these efforts.
250. As part of the 2022–2025 Strategic Plan, UNICEF is seeking to modernize and simplify its processes to accelerate results; specifically establishing a people-centred human resources system and shaping an organizational culture that helps staff members to deliver while living its core values: care, respect, integrity, trust and accountability, with zero tolerance for any form of misconduct, strengthening people management and seeking to clarify and reinforce accountabilities to deter inappropriate behaviors. UNICEF is seeking to ensure its entire workforce is skilled, motivated, agile, and empowered to perform at its best.
251. The Division of Human Resources has established seven priorities for 2022-2025. These are:
(a) Repositioning the human resource function and the delivery model, (b) Efficient and inclusive

recruitment and a proactive approach to mobility, (c) Improving performance management, (d) Making UNICEF a more diverse, equitable, and inclusive organisation, (e) Introducing simplifications and efficiencies in human resources policies, processes, and systems, (f) Introducing new work modalities and defining the future of work. This sits alongside the important cross-cutting areas of learning and development, staff well-being and occupational health and safety, and policy. The PULSE staff survey, amongst others, will provide a valuable insight into the progress, or otherwise, in these areas.

Strategic Internal Communication and Staff Engagement

252. The initial document review showed that there are efforts underway to improve UNICEF strategic internal communication and staff engagement, headed by the Organisational Culture Team in OED (name of the C&D team before merging with the DEI unit from DHR in Jan 2022), DHR and by the **Internal Communications team** from the Division of Global Advocacy and communication (DGCA, previously the DOC – Division of Communication) as well as the GSSC. This team developed a [UNICEF Global Internal Communication And Staff Engagement Strategy 2020–2030](#) which lays out the foundations for it, in response to the [Report of the Independent Task Force on Workplace Gender-Discrimination, Sexual Harassment, Harassment and Abuse of Authority \(ITF Report\)](#) – which is a **key document** for UNICEF’s journey on organizational culture. Many other staff engagement initiatives were rolled out of the ITF report, such as the “[Humans of UNICEF](#)” recognition programme, emphasising UNICEF [Core Values](#) in many events and communications by our Executive Director, the launch of a values charter and its alignment with the renewed [UNICEF Competency Framework](#), vis-a-vis all personnel and candidates are assessed. A campaign called “LoV - Living our Values” is also being developed and will be rolled out in 2022, involving DGCA Internal comms, DHR and C&D team.
253. The GSSC has implemented several initiatives to enhance internal communications including an internal communication site for knowledge sharing and to disseminate UNDS reform-related information, quarterly cultural awareness events for staff and global events (e.g., Budget Formulation Tool training, Nutrition and WASH Cluster Coordination workshops, Health Systems Strengthening Course, Public Finance for Children workshop) supported by investments in conferencing technologies. The 2019 DHR Annual Report outlines a series of changes made aimed at creating an organizational culture change including the establishment of a HR business partner model to provide advice to staff, an updated recruitment process and staff mobility programme and implementation of flexible working practices. The DHR have also hosted a series of events including 580 workshops and 134 webinars covering areas such as Performance Management, Career Management, Career Conversations for Supervisors, Effective Applications, Interviewing Skills.
254. Despite this, the DHR 2019 Annual Report recognized that there is an urgent need for acceleration of these initiatives emphasized by feedback from an independent task force. In addition, the report states that ‘the lack of a systematic and coherent internal communication strategy creates a risk that the culture change message and specific contributions, including from DHR, are not being heard by all staff.’ The 2022-2025 SP responds to this, setting strategic internal, two-way communication and staff engagement as a key organisational enabler with a focus on a values-based organizational culture and enhanced digital communications.

Technical Elements

Clarity and Quality of the Strategic Plan and Objectives

255. The evaluation of the 2018-21 UNICEF Strategic Plan highlighted that the SP was well regarded and well utilised throughout UNICEF, serving as a framework, a guiding document and a common narrative for the organisation. It was also designed to allow for accountability and aggregate results reporting. The SP was found to be holistic whilst offering the flexibility country offices to adapt to supporting national priorities in partnership with other UN agencies. It also provided a common language for UNICEF, in their internal work and in engagement with external stakeholders. In 2021, a MOPAN assessment of UNICEF highlighted the SP as a significant strength in the organization's effectiveness.⁵⁷ The SP 2018-21 defined a clear vision for UNICEF, grounded in the Convention on the Rights of the Child; supported the achievement of the 2030 Agenda by establishing five goal areas linked to the SDGs most relevant to children; and provided a comprehensive results framework that allowed every part of UNICEF to align activities with these goals. This was supported by a robust financial framework in the form of UNICEF Integrated Budget. It also pointed to UNICEF's strategic planning process was a key factor that could help the organization navigate global challenges for children, while noting the new SP 2022-2025 would need to strengthen contributions to outcomes, increase sustainability of results, and address inconsistencies in humanitarian action.
256. The SP 2022-25 has followed a similar structure and objectives, whilst attempting to address several key issues including better incorporating and reflecting children's voices, shifting to a longer-term, outcomes-based focus and developing a more comprehensive humanitarian-development nexus approach

Alignment and integration of M&E with the SP and with system wide goals

257. The previous SP was found to align strongly with UNICEF's mission, the Convention on the Rights of the Child and the SDGs. The evaluation of the SP 2018-21 did make several key recommendations including placing emphasis on measuring change strategies and enablers alongside programme results and strengthening outcome-level reporting.
258. The SP 2022-25 continues the focus on the five goal areas with the IRRF using these as the basis for the results framework. However, it is unclear from the documentation how the change strategies and enablers will be measured to track progress during the strategic cycle.

Theories of change in place and understood, SMART KPIs, M&E frameworks

259. The Theory of Change accompanying the 2022-2025 SP represents a continuation upon the 2018-2021 Theory of Change which the 2020 MOPAN Assessment found to be a solid framework for understanding the organisation's performance. There are further Theories of Change 'nested' underneath the corporate ToC, for each of the five Goal Areas down to country level. These ToCs were found to be consistent and based on sound logic throughout the organisation, their development supported by tools and guidance available to staff. The 2022-2025 SP highlights that UNICEF has shifted the ToCs to focusing on systemic change as well as addressing cross-cutting issues and is seeking to adapt and refine ToCs continually throughout the strategic plan period.

⁵⁷ MOPAN (2021), MOPAN Assessment Report United Nations Children's Fund

RBM systems and principles in place, applied and socialised

260. The 2020 MOPAN Assessment found that UNICEF had a strong RBM system in place and that this permeates throughout the organisation. The corporate Results Framework was seen to be based on sound RBM principles and the RBM system has dedicated budgets, processes and accountability mechanisms including a new unit (the Division of Data, Analytics, Planning & Monitoring - DAPM), that are responsible for the monitoring function. The assessment found that this, coupled with tools and guidance available to staff at country level on developing theories of change, Results Frameworks and target setting had led to strong adherence to RBM standards throughout the organisation including results statements and SMART indicators included in country programme documents. However, there is recognition in the SP 2022-25 that RBM falls short in several ways, namely that it can be seen as too mechanistic, outputs and donor oriented, and lacking in utility for country offices despite their monitoring efforts. Further, a culture of results at all costs was found to bring some negative consequences, including misuse of power.
261. “Results-oriented, efficient and effective management” was one of the four organisational enablers outlined in the previous 2018-2021 UNICEF SP. The 2022-25 SP has a continued focus on RBM although it is not posited as an explicit ‘enabler’ although RBM is a specific result area in the IRRF. Rather, the SP 2022-25 outlines UNICEF shift to a longer-term planning horizon which includes a greater focus on systemic outcome-level changes (e.g., leveraging financing for children; supporting child rights-based policies and legislation) with a subsequent revised approach to results management. This is in response to the evaluation of the SP 2018-2021 and the lessons learned through the organisation’s COVID-19 response. This four-year approach is in line with other UN agencies but in contrast to CPDs which are 5 years and is presented as 'the first of two sequential, coherent plans towards 2030'.

M&E systems in place, adequacy, robustness, resourcing

262. The 2020 MOPAN assessment found that UNICEF M&E framework was comprehensive and provided clear links between HQ and country level with a streamlining exercise having taken place in 2019. The SP Results Framework was a considerable undertaking to superimpose upon such a complex decentralised organisation, where primary accountabilities are established at national level. An important factor was the work of DAPM, the section responsible for this. The assessment found that the weak point in UNICEF M&E framework was in providing evidenced outcome and impact pathways that effectively capture high level results achieved through joint and multisectoral programming.
263. The SP states that UNICEF is seeking implementing a longer-term, outcome-oriented approach to better track transformative and systemic change whilst still monitoring the organisation’s outputs. The IRRF sets out impact (aligned with the SDGs), outcome (Goal Area-level) and output (results area-level) indicators, to do so. In addition, UNICEF has committed to developing a set of cross-cutting outcome-level indicators in the strategic period to better track cross-sectoral outcome-level changes. The IRRF also outlines the nine change strategies and five organizational performance enablers but yet, there are not associated indicators to measure progress towards these. The annual report of the Executive Director acts as the reporting mechanism on Strategic Plan progress.
264. The monitoring and evaluation of cross-cutting issues presents a more mixed picture. The IRRF commits UNICEF to data disaggregation to measure equity and track progress towards LNOB. This includes sex, age, disability, geography (rural/urban, region), migration status and countries in humanitarian crises data. The IRRF contains 103 indicators related to gender equality. The 2019

GAP Evaluation found that 65 percent of evaluations in 2018 met UN SWAP requirements on addressing gender and the 2020 MOPAN assessment found that evaluations were not assessing environmental sustainability or climate change effectively. The recent formative evaluation of UNICEF work on the HDN nexus recommended that UNICEF should develop a nexus marker with specific indicators to track the prevalence of nexus approaches.

Use of evidence to inform decision making, and adaptive M&E

265. The 2022-2025 SP also commits UNICEF to developing an M&E system better geared towards providing timely data and evidence to support adaptation and evidence-based decision-making in programming and policy work. This is following the finding in the evaluation of the 2018-21 SP that the organisation's reporting systems were 'heavy' and did not incentivize learning and information exchange, both internally and externally with UNICEF partners.
266. The 2019 DAPM annual report highlights several areas where UNICEF has made progress including a shift towards all reporting being streamlined in one system – the Results Assessment Module (RAM) and relevant monitoring information being more readily available to staff and managers through the InSight system (including scorecards and PowerBI dashboards). However, the 2020 MOPAN Assessment still found that country offices found the reporting system compliance-based and were not able to use the system effectively for decision making and that more agile tools were required to support adaptive management.
267. In the upcoming strategic period, UNICEF is seeking to advance this, in developing data systems that provide real-time information with greater utility for decision-making. This includes a focus on improving the quality and use of monitoring information. In addition, UNICEF is working towards a revamped RAM 3.0 system with the aim of linking UNICEF reporting with the UN Partner Portal. The 2019 DAPM annual report also signals that the division was aiming to mobilize greater resources to improve institutional feedback loops, timely outcome-level monitoring and forecasting capacity and the documents reviewed included several developmental evaluations aimed at providing real-time insight for programme adaptations.
268. UNICEF evaluation policy was revised in 2018 and confirmed the organisation's commitment to instilling an evaluation culture. This includes the use of evaluations for improved performance and accountability as well as evaluations providing rapid and timely evidence, particularly in humanitarian settings, to inform programming. The EO has been moving to introduce real time assessments and has tested adaptive approaches particularly in reaction to COVID-19. Other interesting evaluation practices within UNICEF include the decentralization of the evaluation function in regional offices and country offices. The policy also states that UNICEF evaluations should seek to address the humanitarian and development nexus in programming. The 2018-2021 strategic period saw UNICEF attempting to further strengthen the institutional evaluation function with the 2018-2021 Integrated Budget document referring to assessments that indicated the need to improve the independence, timeliness, and responsiveness of evaluations.
269. The 2020 MOPAN assessment found that the Evaluation Office efforts had led to improved independence and that the quality of evaluations was high and coverage improved. However, although efforts had been made to improve staff capacity in evaluation and evaluation recommendations were acted upon in a timely manner, evaluation lessons were still not integrated into CDPs on a systematic basis. In addition, the EAPRO Evaluation Strategy and Action Plan points towards a lack of human resources to undertake consultative evaluation processes and to promote evaluation findings.
270. The 2022-2025 SP states that UNICEF will look to continue to address these issues through strengthening the evaluative function with a particular focus on integrating evaluation evidence into

programmatic and resource-allocation decisions. The Evaluation Office is also seeking to respond to the organisation's key needs, tracking outcome-level progress as well as providing more continual evidence for adjustments to the strategic plan and Theory of Change. In addition, UNICEF is now tracking the inclusion of evaluation evidence and lessons in CPDs in their design and for course correction. The first 2022 Executive Board session also references that UNICEF is seeking to keep better track of past lessons learned in upcoming evaluations.

271. UNICEF has three separate evidence functions: the Evaluation Office, the Office of Research (Innocenti) and the Division of Data, Analytics, Planning and Monitoring. All three are responsible for knowledge management with the organisation's recently adopted knowledge management strategy detailing UNICEF role in knowledge management and the evaluation policy stating that the three branches coordinate to ensure efficiency in evidence generation and use. South-south cooperation is another focus area in UNICEF knowledge management and the DRP have been providing tool and services to advance South to South Cooperation and UNICEF also launched the Community of Practice on South-South Cooperation for Children in 2018.
272. The 2020 MOPAN Assessment found that Innocenti had increased its knowledge production and use of knowledge products to inform policy and advocacy whilst the Evaluation Office had developed both internal (PPP-X) and external (Global Development Commons Platform) platforms to share of lessons learned as well as hosting a series of webinars on COVID-19 and upkeeping the EISI platform to store all evaluations, research, and studies. UNICEF also redesigned the data.unicef.org site as an interactive data portal in 2018 and maintains the online learning platform Agora which hosts online courses for both staff and external users. The DRP has led the rollout of an informal Yammer network for real-time knowledge exchange, the BUILD Playbook (a website for Q&A for UNICEF staff) and SWOOP analytics as well as the Knowledge Exchange Toolbox for guidance on knowledge management. However, the MOPAN assessment highlighted that the separate divisions and numerous initiatives were leading to a fragmented internal approach to knowledge management.
273. The 2022-2025 SP commits UNICEF to continued knowledge management that acts to link up and downstream work and to inform policy and programme design. The SP states that the organization will increase investments in these areas to improve the utility of the data and evidence generated and to continually develop collaboration in knowledge management with partners. The accompanying ToC outlines UNICEF intentions to apply approaches and strategies supported by the organisation's data, research, and evaluation functions to reduce poverty and expand social protection.

Incorporating Children's Voices

274. The 2020 MOPAN Assessment found that UNICEF does have affective procedures in place to support accountability to affected populations in its programming. This includes accountability mechanisms to monitor commitments to accountability to affected populations. UNICEF have also been seeking to build staff capacity on accountability to affected populations, but the assessment highlighted that there were still weaknesses in community engagement and feedback mechanisms. However, the evaluation of the SP 2018-21 highlighted that UNICEF could improve the systematic incorporation of children's voices, particularly in planning, advocacy and operations and the formative evaluation of UNICEF HDN nexus work stated that accountability to affected populations is not systematically integrated into UNICEF humanitarian programming.
275. The 2022-2025 SP responds to this and is accompanied by a report that details the engagement with children and young people in the development of the SP. UNICEF used the Voices of Youth and U-Report platforms to hold consultations with over 200,00 children worldwide

on several cross-cutting issues. This consultative process is partly behind climate change, mental health and inclusion becoming priority areas for the organisation. The report commits UNICEF to continued effort in consulting with young people through the organisation’s platforms to inform programming, policy, and advocacy. UNICEF evaluation policy also states that children and young people should be engaged in evaluation design.

The Theory of Change accompanying the 2022-2025 SP represents a continuation upon the 2018-2021 Theory of Change which the 2020 MOPAN Assessment found to be a solid framework for understanding the organisation’s performance. There are further Theories of Change ‘nested’ underneath the corporate ToC, for each of the five Goal Areas down to country level. These ToCs were found to be consistent and based on sound logic throughout the organisation, their development supported by tools and guidance available to staff. The 2022-2025 SP highlights that UNICEF has shifted the ToCs to focusing on systemic change as well as addressing cross-cutting issues and is seeking to adapt and refine ToCs continually throughout the strategic plan period.

Cross-Cutting Themes

276. The ToC for the 2022-2025 SP identifies five cross-cutting themes: **climate action, disability, peacebuilding, resilience, and gender**, as shown in Figure 1. These cross-cutting themes are “programming priorities that UNICEF has identified as critical to achieving results in every Goal Area, towards the realization of children’s rights”⁵⁸. UNICEF recognizes that accelerating progress in such cross-cutting areas requires multisectoral action. They are thus not articulated as Goal Areas but rather mainstreamed across all five Goal Areas with corresponding results and indicators. These five cross-cutting areas build upon the two specific cross-cutting priorities of the previous, 2018-2021 strategic plan: **humanitarian action and gender equality**, which were incorporated into its design to encourage UNICEF to view these important areas as integral to their work in all sectors, across all contexts⁵⁹. Evaluative evidence suggests that UNICEF made significant improvements in these two priorities during the 2018-2021 SP implementation⁶⁰, and likewise, the recent 2020 MOPAN Assessment of UNICEF rated the organization as satisfactory for cross-cutting issues⁶¹ (looking specifically at gender equality, environment, and human rights). Specifically, it found UNICEF to have mainstreamed gender equality into its strategic plan and that its programming is increasingly gender responsive, however gaps and areas for improvement in gender prevail, as discussed earlier in 3.2.5. Whilst committing to environmental sustainability and climate change in its strategic plan, and to human rights and equity, these could be further mainstreamed or applied in practice.⁶²

Climate Action

277. The global phenomena of climate change and environmental degradation are recognised by UNICEF as posing a threat to the rights and futures of children⁶³, who often ‘bear the brunt’ of its impacts⁶⁴. The SP acknowledges that global momentum on climate action has been slowed as a

⁵⁸ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p.8

⁵⁹ 24. 2434-UNICEF Strategic Plan Report, p. 28

⁶⁰ 24. 2434-UNICEF Strategic Plan Report, p. 28

⁶¹ 2020 MOPAN assessment

⁶² 2020 MOPAN assessment p.47-48

⁶³ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 12

⁶⁴ UNICEF Strategic Plan 2022-2025. P.16

consequence of COVID-19 pandemic. UNICEF therefore commit it's the 2022-2025 Strategic plan to mainstream climate action across its work, including programming, advocacy, partnerships, supply and procurement, as well as its internal operations. Across all goal areas they will work to strengthen the climate resilience of services and facilities⁶⁵, however, 'Climate action' is indicated as being an intrinsic part of Goal Area 466 (Every child, including adolescents, has access to safe and equitable WASH services and supplies, and lives in a safe and sustainable climate and environment). In 2020, the UNICEF Evaluation Office and Climate, Environment, Resilience and Peacebuilding (CERP) section conducted a formative 'readiness assessment' to explore the organisations readiness status for responding to climate and environment, and to improve their climate and environment related strategy and plans⁶⁷.

Disability

278. Children with disabilities are recognised by UNICEF as being amongst the most excluded and invisible members of society, facing widespread stigma, discrimination and inaccessible environments that further exacerbate vulnerabilities and excluding them from accessing various critical services⁶⁸. They are therefore elevating programming on disability rights within the context of the 2022-2025 Strategic Plan, across all goal areas, including through support to the families, parents and caregivers of children with disabilities⁶⁹.
279. Global evidence suggests that children with disabilities face a heightened risk of violence, which is increased further during times of humanitarian crisis⁷⁰. Specifically, within goal area 3 (Every child, including adolescents, is protected from violence, exploitation, abuse, neglect and harmful practices), disability will be mainstreamed in all child protection work⁷¹, and a 'twin track' approach used in various programmes to ensure access to inclusive and barrier-free services and support, alongside targeted measures (such provision of assistive devices and promotion of accessibility)⁷². This will facilitate their ability to participate in society to the fullest extent, and on an equal basis with others.

Peacebuilding

280. UNICEF has made substantial contributions to peacebuilding over the years through its actions focused on creating a conducive environment for peace within societies.⁷³ Although they are not part of the UN Peace and Security Pillar⁷⁴ UNICEF is an implementing partner for the Secretary-General's Peacebuilding Fund⁷⁵ and recognising that children in fragile and conflict-affected environments experience a wide range of threats to their rights, UNICEF intend, within the context of the 2022-2025 Strategic Plan to further their work around peacebuilding. A recent evaluation found that UNICEF has significant comparative advantage that can be harnessed in peacebuilding

⁶⁵ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 12

⁶⁶ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 71

⁶⁷ UNICEF (2020) Climate and Environment Readiness Assessment.

⁶⁸ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 13

⁶⁹ UNICEF Strategic Plan 2022-2025. P.9

⁷⁰ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 55

⁷¹ UNICEF Strategic Plan 2022-2025. P.15

⁷² UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 13

⁷³ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 13

⁷⁴ UNICEF Strategic Plan 2022-2025. P.9

⁷⁵ UNICEF Strategic Plan 2022-2025. P.10

programming⁷⁶ and efforts will build on work under previous strategic periods whereby UNICEF sought to increase risk mitigation and peacebuilding strategies into their programming for example in the Peacebuilding, Education and Advocacy in Conflict Affected (PBEA) Countries programme, later renamed Learning for Peace, which ran from 2012-2016 and was considered a ‘milestone in terms of UNICEF’s engagement on Peacebuilding⁷⁷. Also, in the common chapter of the 2018-2021 Strategic Plan, peacebuilding and sustaining peace was identified as a core area for joint work, fundamental to making development gains, building resilience, and supporting fragile communities⁷⁸. In 2022-2025, UNICEF will design and implement conflict-sensitive programmes, informed by a robust conflict and risk analysis⁷⁹, that contribute to social cohesion and peace in accordance with the QCPR and national plans, needs and priorities to build trust and collaboration amongst communities, and between States and society⁸⁰. Programming will focus on addressing known drivers of conflict and grievances through equitable and inclusive delivery, and the effective management of social services in the education, health, water and sanitation, social protection and child protection sectors⁸¹.

Resilience

281. UNICEF define resilience as ‘the capability of individuals, communities and institutions to prepare for, prevent, respond to and recover from crises’⁸². There is recognition that building resilience is a key part of systems strengthening work and risk informed programming, and a core concept for enhancing coherence and collaboration among humanitarian, development and peacebuilding programming. It will therefore be mainstreamed across all its programming within the context of the 2022-2025 Strategic Plan including humanitarian response; UNICEF are considered ‘uniquely placed to work effectively in fragile contexts’, having extensive programme experience of working to build resilience in fragile contexts and is demonstrating some good practices⁸³. Specifically, interventions shall focus on building local ownership and the capacities of affected people, strengthening systems, and contributing to social cohesion to enhance prevention and preparedness of future shocks. At a development and individual level, building resilience shall focus on mental health and nutrition, both of which are considered as key contributors to and outcomes of strengthened resilience⁸⁴.

Gender

282. Gender equality is a cross cutting focus as well as a ‘principle’ and a change strategy within the 2022-2025 Strategic Plan, remaining at the core of UNICEF’s work given the recognition that the achievement of the SDGs and realisation of children’s rights is rooted in the achievement of gender equality and the empowerment of women and girls⁸⁵. It is therefore mainstreamed across all the organisation’s work; UNICEF will continue to address sexual and reproductive health and rights, promote inclusive and equitable service access and engage men and boys as allies and

⁷⁶ UNICEF (2020) UNICEF Engagement with Young People in Peacebuilding. Formative Evaluation. p. 73

⁷⁷ UNICEF (2020) UNICEF Engagement with Young People in Peacebuilding. Formative Evaluation. p. 24

⁷⁸ Common ch annex, p11)

⁷⁹ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 18

⁸⁰ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p. 13

⁸¹ UNICEF Strategic Plan 2022-2025. P.9

⁸² UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p.14

⁸³ UNICEF (2018) Integrating Humanitarian Response and Development: Programme Framework for Fragile Contexts, p. 12

⁸⁴ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p.14

⁸⁵ UNICEF (2021) Theory of Change, UNICEF Strategic Plan 2022-2025, p.13

partners, while renewing the focus on gender-based violence and the deep-rooted social and economic inequalities that have placed a double burden on the world's women and girls during the global COVID-19 crisis⁸⁶.

⁸⁶ UNICEF Strategic Plan 2022-2025. P.9

Annex 2: Terms of Reference

Terms of Reference

Evaluation Office

Evaluability Assessment and Formative Evaluation of UNICEF Positioning to Achieve the Goals of the Strategic Plan 2022-2025

16 November 2021

Background

To guide the organization's implementation of its mandates and mission of advocating for the protection of children's human rights, to meet their basic needs, and expand opportunities to reach their full potential, UNICEF has developed the Strategic Plan (SP) 2022-2025. Building on lessons learned from the implementation of its previous strategic plans, the SP 2022-2025 gives renewed emphasis and greater clarity to the operationalization of new areas of work, including mental health and climate action. It also provides a more comprehensive set of change strategies and enablers, including new areas such as risk-informed humanitarian and development nexus programming, digital transformation, as well as new ways of engaging with the public and private sector, adolescents, and young people; and more agile and responsive business models, to name a few.

The SP 2022-2025 is also the first such plan to fully integrate direct references to the United Nations Development System (UNDS) reform, acknowledging UNICEF commitments to support the Resident Coordinator, the implementation of the Management Accountability Framework, and the significant collaboration challenges to scale up progress to achieve the goals of the 2030 Agenda. In addition, it also recognizes the hindering effects of the COVID 19 pandemic on the progress made in support of children, particularly in the areas of education, vaccination, and mental health, among others. Recent evidence has described how the COVID 19 pandemic has exacerbated the existing inequalities, particularly on access to basic services, including digital connectivity, but it also has opened possibilities for innovation and coordination with other UN and development agencies.

One of the key recommendations of the evaluation of the previous quadrennial strategic plan – that is, the Strategic Plan 2018-2021 – specified that new SP should be one that gives “more emphasis to change strategies, along with accompanying efforts to ensure the right capacities to implement them, sets the basis for the organization to be more agile, to respond to new threats to children (...)”. Given the importance invested in the change strategies⁸⁷ and enablers⁸⁸ as foundational elements for facilitating the successful implementation of the SP 2022-2025, it is critical to determine the state of these elements at the outset of the strategic cycle. This assessment would not merely establish baseline measures but rather, and more importantly, it would determine whether each element is in place in the first instance, and if so, how adequately positioned they are at present, in relation to where the organization needs them to be to realize the ambitious enshrined in the SP 2022-2025.

This early evaluative assessment is important because the stakes associated with the SP 2022-2025, which charts a course for the first half of the Decade of Action, are exceedingly high. It is therefore critical that evaluative feedback on the organization's plan to deliver for children, as well as to assess potential ways to support the 2030 Agenda, be made available at the earliest possible point of the new quadrennium to help place the organization on a solid footing as it embarks on the plan. A formative assessment of UNICEF strategic positioning to realize the goals of the SP 2022-2025 will help identify early

⁸⁷ UNICEF change strategies for the 2022-2025 Plan are (i) advocacy and communication; (ii) community engagement, social and behaviour change; (iii) digital transformation; (iv) evidence and knowledge management; (v) gender transformative programming; (vi) innovation; (vii) partnership and engagement: public and private; (viii) risk-informed humanitarian and development nexus programming; (ix) systems strengthening.

⁸⁸ UNICEF enablers for the 2022-2025 Plan are (i) accelerated resource mobilization; (ii) an agile and responsive business model; (iii) strategic internal communication and staff engagement; (iv) decentralized and empowered internal governance and oversight; (v) empowered people and culture.

points of strength, gaps and blind spots and thus help set the organization on the right path to achieve the organization’s longer-term vision for realizing the rights of every child.

Objectives and Purpose

Traditional evaluability assessments address technical questions related to data availability, the presence and clarity of logical framework for analyses, and the existence and appropriateness of key performance indicators. These traditional exercises typically generate evidence commonly used to confirm that a full and meaningful evaluation will be plausible and whether these components are qualitatively fit for this purpose. This exercise, in addition to addressing these traditional evaluability assessment issues, will assess the extent to which UNICEF has the key strategic elements in place to succeed in achieving the ambitious goals of the SP 2022-2025 in the first instance. A broader formative approach will be used to determine the organization’s overall readiness to operationalize the new strategic plan and realize its ambitious goals. Given the urgent need to ensure that all the necessary elements of UNICEF overall positioning are in place to achieve the ambitious goals targeted in the SP 2022-2025, this component is critical to the exercise.

The objective of this exercise is to determine, as systematically and objectively as possible, whether the Strategic and Technical Elements supporting the operationalization and implementation of the Strategic Plan 2022-2025 are in place and adequately positioned to help maximize the likelihood of success of UNICEF and its partners. This evidence will proactively direct the organization’s attention to areas of greater and lesser strength at the outset of the quadrennium with the purpose of: (i) guiding UNICEF toward near-term adjustments that will ensure a dynamic, responsive, and nuanced institutional enabling environment for the SP 2022-2025, and (ii) putting in place the conditions for a full and meaningful evaluation of the Strategic Plan by the end of 2024. The purpose of the exercise will be to give UNICEF time to plan and implement any necessary adjustments to accelerate, scale up and adapt in its path to achieving its Goal Area targets in support of the 2030 Agenda – the ultimate purpose being to help maximize the likelihood that UNICEF, together with its partners, will succeed in achieving the results envisioned in the SP 2022-2025.

The Strategic component of the exercise will entail a comprehensive review of the entirety of the organization’s operations, beginning with those covered under the change strategies and enablers. (See Figure 1.)

Figure 1 – Change strategies and Enablers of the UNICEF Strategic Plan, 2022-2025

Change strategies	Enablers
<ul style="list-style-type: none"> • Advocacy and communications • Community Engagement, Social and Behaviour Change • Data, Research, Evaluation and Knowledge Management • Digital transformation • Gender transformative programming • Innovations • Partnership and Engagement Public and Private • Risk informed humanitarian and development nexus programming • System Strengthening to Leave No One Behind 	<ul style="list-style-type: none"> • Accelerated Resource mobilization • Agile and Responsive Business Model • Decentralized and Empowered Internal Governance and Oversight • Dynamic and Inclusive People and Culture (i.e. Human resources management) • Strategic Internal Communication and Staff Engagement

The Strategic component of the exercise will also cover other foundational aspects of UNICEF operations not explicitly subsumed under these categories but which are nonetheless crucial to organizational success, such as structural and governance arrangements, accountability frameworks, clarity of roles and responsibilities among the business owners of various aspects of the SP 2022-2025, adequacy and predictability of quality funding, organizational culture, robustness of results-based management systems, and other key elements intended to support the organization’s capacity to successfully achieve the goals envisioned in the SP 2022-2025. In so doing, it will provide an indication of those areas that are in place and those that are not, and among those that are, the extent to which they are sufficiently in place or whether they require course correction. In so doing, it will provide a proxy measure of the baseline status and maturity of the Strategic Elements

supporting the operationalization of the SP 2022-2025 that can be used in the future to measure changes that will be revealed through regular and systematic assessments.

The Technical component of this exercise will entail a comprehensive review of the organization's monitoring and evaluation systems, to objectively determine how well positioned UNICEF is to measure its progress and performance in a sufficiently robust manner in the coming quadrennium. A rapid yet systematic review will be conducted of the clarity and quality of the SP 2022-2025 as well as all other documents and other materials related to the organization's monitoring and evaluation systems. In addition, UNDS reform guiding documents, global commitment documents, and relevant system-wide UN documentation will be reviewed to assess the alignment of the SP 2022-2025 with these. This component will qualitatively assess how fit-for-purpose these technical elements are and will explore their alignment with UNICEF long-term vision.

Given this formative focus and given that the SP 2022-2025 will only become operational in early 2022, the present exercise will not aim to summatively assess organizational performance as would a full-scale evaluation conducted at a later point in the implementation of the plan. Actions taken in response to this exercise could later be assessed for their effectiveness during the Mid-Term Review of the Strategic Plan, and a later full-scale summative evaluation of the Strategic Plan planned for completion in 2024, with the intent of bringing stronger results and greater progress towards SDG targets. This exercise will nevertheless give attention to key factors perceived as high risks or "red flags", as UNICEF embarks on the Strategic Plan 2022-2025.⁸⁹

Scoping Considerations

As noted above, this exercise, as a formative and forward-looking exercise, will not assess organizational performance at the outcome level. Future evaluations, including the Mid-Term Review of the Strategic Plan and a full-scale summative Strategic Plan Evaluation, will apply this more summative and outcome-focused lens to the Strategic Plan 2022-2025. It is therefore not foreseen that data collection will extend to the end beneficiary level, and data collection at the decentralized level will be limited to the most critical data collection points.

Within these parameters, this exercise will cover all levels and relevant functional areas supporting the operationalization and implementation of UNICEF SP 2022-2025. Analyses will assess UNICEF Technical Elements, including the presence and robustness of monitoring and evaluation systems (including frameworks, theories of change, key performance indicators, and other areas), the adequacy of integration between and among these systems and their corresponding functions, the overall alignment of these to the Strategic Plan 2022-2025, and the practice and culture around the use of these and other sources of data, analytics, evidence and knowledge to inform key decisions. The Technical Component will also assess the degree of meaningful alignment of the Strategic Plan 2022-2025 with existing system-wide guidance, frameworks, policies, and other commitments. These should include (but should not be limited to) United Nations Sustainable Development Cooperation Framework Guidance; the Management Accountability Framework; the 2020 Quadrennial Comprehensive Policy Review of UN system operational activities, the 2020 Core Commitments for Children in Humanitarian Action; among others.

This line of inquiry will be heavily desk-based and will include an assessment of key documents accompanying the SP 2022-2025, as well as any global strategies, guidance notes, frameworks, action plans, budgets, and other UN-System-Wide relevant guiding documentation in place or under development. It will also entail an experiential end-user element in which key aspects of the system are demonstrated and used.

The assessment of the Strategic Elements will generate primary data and analyse secondary and tertiary data from all levels of the organization, to provide an early and summary determination of the presence and maturity of each of these elements. In-depth evaluations on advocacy and communications (CS1); innovations (CS6); risk informed humanitarian and development nexus programming (CS8); gender transformative programming (CS5); human resources management (EN4) are included in the UNICEF Plan for Global Evaluations, 2022-2025. It is anticipated that the present exercise might reveal other potential areas for evaluation during the quadrennium.

⁸⁹ External factors are discussed in a cursory manner under the Assumptions section of the SP 2022-2025.

Assessment of both the Technical and Strategic Elements will, in addition to including the data collection and analysis modalities described above, entail a synthesis of all relevant internal and external evaluations, reviews, audits and other assessments of the organization conducted during the present and previous Strategic Plan periods (i.e., 2018-2021 and 2014-2017, respectively) on these issues, with a view to synthesizing the relevant findings and recommendations these exercises have generated – as well as the quantitative and qualitative status of the organizational management response to their corresponding recommendations.

Assessment Framework

This exercise will answer the following overall evaluation question: “To what extent does UNICEF have the most critical strategic and technical elements in place to achieve the goals it has committed to in the Strategic Plan 2022-2025, and to meaningfully monitor and evaluate its progress against these goals?” Table 1 presents the assessment matrix, including the overarching evaluative questions as well as the sub-questions that operationalize each overarching question. These questions will be unpacked and further refined during a brief inception phase at the outset of the exercise.

Table 1: Assessment Matrix

Key Evaluative Question	Evaluative Sub-Questions
<p>To what extent are the essential strategic elements adequately in place to maximize the likelihood that UNICEF and its partners will succeed in achieving the goals of the Strategic Plan 2022-2025 and the 2030 Agenda?</p>	<p>What evidence is there that each strategic element is in place – that is, the change strategies and enablers, as well as other foundational aspects of UNICEF operations not explicitly subsumed under these categories but which are nonetheless crucial to organizational success (e.g., structural and governance arrangements, accountability frameworks, clarity of roles and responsibilities among the business owners of various aspects of the Strategic Plan 2022-2025, adequacy and predictability of quality funding, organizational culture, robustness of results-based management systems, and other key elements intended to support the organization’s capacity to successfully achieve the goals envisioned in the SP)?</p> <p>Based on the answer to the foregoing question, which strategic elements are fully in place, which are partially in place, and which are not yet in place?</p> <p>Among those that are fully or partially in place, what early indications are there that each is adequately positioned to help maximize the likelihood that UNICEF and its partners succeed in achieving the goals of the Strategic Plan 2022-2025 and the 2030 Agenda? A preliminary set of criteria for gauging the strength of positioning of each element includes the following, at minimum:</p> <ul style="list-style-type: none"> the extent to which each strategic element has been well informed by all relevant internal and external sources of knowledge, as a means of optimizing its prospective beneficial effects on the work of the organization and customizing it to UNICEF organizational context(s) the extent to which there is a clear shared conceptual understanding among all key stakeholders of what each strategic element is about, what it aims to accomplish as an enabler of organizational performance, and a clear pathway indicating how it aims to do so the level of clarity as to who the primary business owner(s) of each strategic element is/are and who is responsible for which aspects of it the level and sufficiency of human and financial resources to operationalize and fully leverage each strategic element, especially at the levels where the end client and partner interface is greatest. <p>To what extent are the various strategic elements linked together in a clear, coherent manner as a means of optimizing their beneficial joint effects on the work of the organization and minimizing undue duplication or contradiction of efforts?</p> <p>For those elements that are partially in place or not in place, what is needed to bring each of these to an acceptable level where it can be sufficiently operationalized to contribute as it needs to?</p> <p>To what extent have considerations of and adaptability to humanitarian contexts been sufficiently built into the approaches taken within each strategic element?</p>

Key Evaluative Question	Evaluative Sub-Questions
<p>To what extent are the essential technical elements adequately in place to operationalize the Strategic Plan 2022-2025, measure progress in its implementation, and meaningfully and credibly evaluate the organization's performance later in the quadrennium?</p>	<p>To what extent are results-based management principles and practices in place, at all levels of the organization and at both in the organization's programmatic and operational areas of work, to ensure clarity of objectives at all stages of the results chain (e.g., theories of change that indicate the pathways to outcome-level results), clarity of strategies for achieving them, and clarity in how they will be measured (i.e., through robust monitoring frameworks and practices and SMART⁹⁰ key performance indicators)?</p> <p>How closely are these principles and practices aligned with the long-term strategic vision of the organization and to broader normative frameworks of UNICEF and the wider UN system – e.g., 2020 Core Commitments for Children in Humanitarian Action, the 2020 Quadrennial Comprehensive Policy Review of UN system operational activities, the United Nations Sustainable Development Cooperation Framework Guidance, the Management Accountability Framework, and others?</p> <p>How deeply socialized are these principles and practices in the day-to-day culture and ways of working in the organization – e.g., through use of theories of change and monitoring and evaluation frameworks as active (and where appropriate adaptive) management tools?</p> <p>How closely are key organizational priorities supported by sound result-based budgeting principles and practices – i.e., with resourcing levels being commensurate with priority level – both at a programmatic and operational level?</p> <p>To what extent are the various technical elements linked together in a coherent, integrated manner, both at a programmatic level (i.e., with overall Results Frameworks and associated strategies within individual areas being linked into those in other areas from a holistic, whole-of-child and whole-of-organization perspective) and an operational level (i.e., with various aspects of monitoring and evaluation being undertaken in a systematic, streamlined manner)?</p> <p>How adequately resourced are the technical elements for generating the level of evidence, data and knowledge required for on-going monitoring and evaluation efforts?</p> <p>How well positioned is the organization and its partners to generate ample evidence, data, and knowledge on organizational and systemic performance, both at the programmatic and operational level, and how well positioned is the organization to use and benefit from this evidence, data and knowledge through on-going monitoring and evaluation efforts?</p> <p>Which key areas of the organization's work, either at the programmatic or operations level, are receiving sufficient monitoring and evaluation attention and which are not?</p> <p>For those elements that are partially in place or not in place, what is needed to bring each of these to an acceptable level where it can be sufficiently operationalized to contribute as it needs to?</p>
<p>What key internal and external factors are (fore)seen as influencing UNICEF ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?</p>	<p>What key internal factors are (fore)seen as influencing UNICEF ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?</p> <p>What key external factors are (fore)seen as influencing UNICEF ability to leverage the Strategic and Technical elements to achieve maximum results for children in 2022-2025?</p>

⁹⁰ Specific, Measurable, Achievable, Relevant, Time-bound

Methodology: Analytical framework, Data Collection, and Validation

The methodology used in the assessment of technical elements will rely on a combination of a traditional evaluability assessment approaches, with a focus on assessing the existence and robustness of the technical elements – with the former being assessed primarily through desk review and the latter being assessed through key informant interviews, surveys, and demonstrations of key aspects of monitoring and evaluation systems. The assessment of the strategic elements will similarly require a blend of these same methods, although it is foreseen that the volume of documents for this line of inquiry will be much larger than for the assessment of the technical elements.

For almost all documents beyond the core foundational documents⁹¹ being reviewed it is foreseen that a formal desk review that entails the systematic use of an assessment tool to capture key information across documents of the same class (e.g., all theories of change, all strategies, all budgets, all monitoring and evaluation frameworks, all management responses, all Country Programme Documents, Office Management Plans and Regional Office Plans, and so on). In addition, it is anticipated that a systematic synthesis of existing evaluation reports (as well as other reports, such as audits, reviews, survey summaries, and so on) will be undertaken to provide corroborative evidence for the overarching findings emerging from the exercise – and to summarize key areas of systemic and prolonged inaction on the part of the organization that deserve attention at the outset of the quadrennium. The team will also be expected to undertake appropriate secondary analyses of existing administrative data and other internally and externally available data sources wherever possible.

All operational units of UNICEF headquarters and all UNICEF regional offices will be included in the exercise. For the assessment of the strategic and technical elements at country level, it is strongly preferred that the full universe of UNICEF country operations be assessed. That said, should this broad approach not be feasible, a sample of UNICEF country offices will be selected. The sampling design will be based on a set of criteria, including regional representativeness, country typology (with particular interest on countries with Humanitarian and Resilience programmes); country income level (with particular interest in MICs and MHCs with work on policy advocacy); COVID-19 conditions and recovery; participation in innovation initiatives (innovation champions); as well as recent or contemporaneous participation in other global or regional evaluations. The evaluation team is expected to provide additional feedback on the selection criteria during the inception phase.

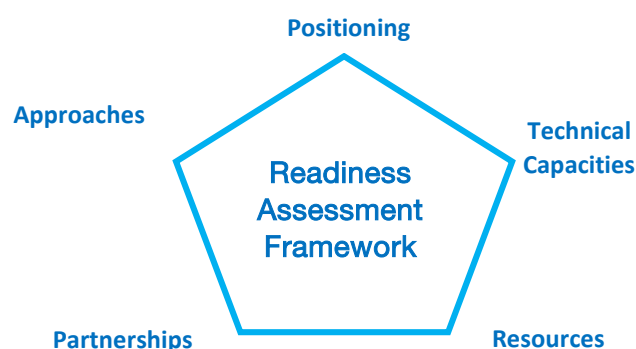
As indicated above, the assessment of Strategic Elements will encompass all nine Change Strategies and five Enablers identified to SP 2022-2025 but will not be limited to these; rather, it will more broadly explore all the institutional, structural and governance arrangements as key facilitators of organizational results as well as issues of organizational culture, working modalities, resource mobilization and adequacy of funding modalities, and so on. The evaluation team will be expected to explore other factors that might contribute or are perceived as high risk to the full operationalization of the SP 2022-2025. This baseline evidence would be used to inform the scope and the in-depth focus for full evaluations of specific Strategic Elements, planned to be included in the UNICEF 2022-2025 Plan for Global Evaluation for in-depth evaluation.

Analyses subsumed under the assessment of Strategic and Technical Element can potentially build on the proposed analytical framework, previously used in other UNICEF evaluative exercises. Figure 1 presents this for framework consisting of five readiness dimensions, namely: Positioning, Approach, Technical Capacity, Partnerships and Resources.⁹²

⁹¹ E.g., the Strategic Plan 2022-2025; the Integrated Results and Resources framework; Integrated Budget; UN global guidance, frameworks, mandates, policies including the United Nations Sustainable Development Cooperation Framework Guidance; the Management Accountability Framework; the 2020 Quadrennial Comprehensive Policy Review of UN system operational activities, the 2020 Core Commitments for Children in Humanitarian Action; and so on.

⁹² For more information on the Assessment Framework see Climate and Environment team (CERP) in the PD, as well as with Business for Results (B4R). Both documents have been utilized to inform the CERP Policy and the B4R strategy in line with the upcoming 2022-2025 Strategic Plan.

Figure 1: Analytical Framework: Readiness Dimensions



Source: UNICEF Evaluation Office

This analytical framework was designed by the EO as a diagnostic and learning tool with the overall objective of presenting a comprehensive read of the perceived status of maturity, usage, and prevalence in new areas of work. This methodological approach allows for a simple yet comprehensive baseline analytical description of the status of specific areas of the organization’s work such as the Strategic Elements. In addition, it allows for consistency and comparability across levels and Strategic Plan elements.

It is expected that the evaluation team will expand, modify this tool, or combine it with other tools – or replace it with a more suitable tool (or set of tools) – to capture the full breadth of the evaluative questions and answer them in a satisfactory manner.

In gauging UNICEF strategic positioning along the various dimensions of each Strategic and Technical Elements in the assessment instrument ultimately used in this exercise, it is envisaged that the tool will include contextually specific benchmarks pegged to UNICEF specific operating environment as well as external performance benchmarks based on the “gold standard” for each aspect of the Strategic and Technical elements. This blended approach is intended to reflect the contextual realities of UNICEF operating environment as well as the “state-of-the-art” benchmarks of organizational performance that can help it aim even higher toward a global “gold standard” in this critical Decade of Action.

Regardless of the specific assessment tool used, the evaluation team will be expected to produce the results of its analyses in a clear and visually compelling manner. *It is anticipated that the exercise will yield a large volume of information on numerous areas, some of which entail a considerable degree of complexity, so this attention to the strategic use of graphical elements will be pivotal in the selection of the consulting team.*

A highly consultative approach would be used throughout the evaluation process, including all levels of the organization, with workshop-style consultations with senior leadership at the HQ, RO, and CO levels; presentation of emerging evidence during Global Management Team meetings and Global Evaluation Committee meetings, as well as more direct engagement with an ad-hoc reference group. A reference group would be established with the responsibility and commitment to review all deliverables produced during the evaluation process, including the inception, emerging evidence summary presentations, and final report, to check for factual errors and other relevant considerations. Additionally, workshop-style meetings will be used to present emerging findings and validation, focusing on factual checking the survey data estimates and analyses. Additional interviews with field-level stakeholders, including Government and UN or Development agency partners, will be scheduled to fill evidence gaps or to validate unclear evidence. Emphasis will be given to UNCT focal points, whenever possible.

Evaluation Work Plan and Deliverables

Inception Phase: January 2022

This phase will entail due diligence to develop deeper understanding of the issues and context of the exercise, and to refine specific aspects of scoping, methods, and uses of the evaluation by its key stakeholders. The key deliverable for this initial phase will be an inception report that presents a detailed plan for implementing the exercise to the quality, credibility and utility standards set in these terms of reference and in initial consultations with the Evaluation Office manager. All tools to be used, including surveys, should be fully designed and have been tested. A sample structure of the final report should also be included in the inception report.

Data Collection and Analysis Phase: February-April 2022

Final survey tools will be administered and processes as part of the primary data collection process. Relevant documentation will be gathered and reviewed, and relevant administrative data will be compiled for analyses. Follow up interviews, will be scheduled to fill in data gaps and workshop-style discussions will be scheduled to present emerging findings.

Data gathered during the exercise must be transferred in an organized archive that will permit follow-on users to replicate or extend the analysis. Suitable care to be taken in assuring the anonymity of respondents.

Report Drafting and Presentation Phase: May-June 2022

The main deliverables for this phase are the Final Report, including an overall assessment of the Technical and Strategic Elements, and a second report or small distinct reports presenting detailed information on the specific Strategic Elements examined. The final report is to include the conventional executive summary (four pages maximum), methodology, final evaluation matrix, findings, conclusions, lessons learned, and recommendations sections. The second report outline or design will be agreed upon in the inception phase. A stand-alone PowerPoint presentation conveying evaluation questions, methodological approach, key emerging findings, conclusions, and recommendations will also be delivered.

Important notes:

Monitoring deliverables about work progress are not listed but will be periodically required.

Page limits, if any, to be established during the inception period. In general, there will not be artificial limits, but the report should aim for conciseness, readability, and visual appeal.

The format of the final deliverables will be decided in the inception period. A high value will be placed on products that communicate well with different audiences. Thus, infographics, PowerPoints, and other products may be fully integrated into the reports or may be proposed as complementary end products.

Limitations

The following limitations are foreseen:

- The timeline for this exercise is exceedingly tight, and the scope of data collection activity broad, with an emphasis on mixed methods despite the tight timeframe. It is therefore anticipated that a team of 6-10 individuals or full-time equivalents will need to be allocated to the exercise – with varying degrees of involvement – to achieve the desired breadth and depth in the limited time at hand
- As reported in the SP 2018-2021 evaluation, there has historically been limited nuanced information on the specific contribution of the change strategies and enablers to the achievement of Strategic Plan targets; the present exercise is intended to avoid this gap, but it is foreseen that some of the same data gaps identified in that evaluation likely persist into the present. All attempts should be made to use the existing data currently available
- Evaluation fatigue is prevalent in UNICEF. Interviews should therefore be as brief and as focused as possible, and the interviewees should be limited to those for whom a given topic is most salient. In addition, all requests for information should be streamlined in coordination with the UNICEF Evaluation Office

- Several UNICEF largest programmes are in highly volatile emergency settings. The deliverables will be allowed to show a higher level of uncertainty in these instances but should attempt to capture the major issues of readiness and capacity
- It is already envisaged that realization of the Strategic Plan 2022-2025 will be contingent on the finances available to the organization. It is an expectation that the final report will apply a 'sensitivity' analysis, identifying the likely consequences of various resourcing scenarios

Ethical Considerations

General Provisions

The selected firm will be expected to follow UNICEF standards on evaluation ethics and quality, UNEG Ethical Guidelines and Code of Conduct, as well as with UNEG Guidance on Human Rights and Gender Equality in Evaluation. The process will include the following mechanisms:

- Respecting gender and human rights principles throughout the evaluation process, including: the protection of confidentiality; the protection of rights; the protection of dignity and welfare of people; and ensuring informed consent
- Data validation will take place at all levels with participant consent
- Maximizing the degree of participation of stakeholders in the Evaluation itself wherever feasible and a commitment to using participatory approaches in field studies
- Disaggregating data by gender and social group where feasible
- Ensuring that outputs use human-rights and gender-sensitive language
- Ensuring privacy protocols and compliance with all legal data management rules and considerations
- Applying the principle of 'do no harm' into practice during the duration of the exercise

Confidentiality

The selected firm will have access to important internal data and perspectives on staffing, resourcing etc. These must be held with utmost confidentiality. Likewise, the willingness of internal and external stakeholders to speak to these issues in a critical way will depend on the provision of absolute confidentiality. The selected firm needs to sign the non-disclosure agreement (NDA), abide by UNICEF and their own security protocols, and ensure that sensitive data is protected.

Future Work

The recommendations emanating from the report may well set in motion change mechanisms within UNICEF that lead the organization to solicit external expertise to help realize the desired changes. Considering this factor, a potential conflict of interest may exist for the winning bidder of this exercise in that the recommendations could be tailored toward a capacity for future work that the bidder possesses. Consequently, to avoid such a potential conflict of interest, the selected provider will not be allowed to bid for future change management contracts in the areas covered by the recommendations for two years after the report is accepted. They will be allowed to bid for evaluations and other work that do not directly derive from this exercise.

Gender and Human Rights, including Child Rights

The selected firm needs to respect and emphasize gender and human rights, including child rights throughout the evaluation process by:

Emphasizing the gender dimension and other vulnerable group aspects within the analysis, e.g., within the TOC reviews, SP indicator analysis, and intended allocation of resources

Creating input avenues where UNICEF staff may optionally offer their candid views with the voluntary ability to note how their views reflect their own expertise from their nationality, sex/gender etc.

A sample of important pieces of research and evaluation from 2019-2021 can be examined to understand what the analytic teams have discerned about UNICEF understanding of and promotion of Gender and Human Rights. As these are elements noted in the Geros quality reviews⁹³, a ready-made sampling frame exists

Evaluation Roles and Responsibilities

Contract Supervision

Supervisor/Approving authority: An Evaluation Specialist in the UNICEF Evaluation Office will supervise the exercise. S/He may delegate oversight duties to other persons for portions of the work but will retain overall approving authority.

Reference Group (RG): A reference group (RG) will be created to support the consultants and the supervisor. Particular roles of the RG will be to facilitate access to documentation and persons that must be involved, and to react to draft deliverables and other issues as required. A full TOR for the steering committee members will be drafted. Membership will include representatives from across the stakeholder spectrum.

Qualifications and Experience Required

This contract will be awarded to an organization/firm/institution [hereafter labeled as 'Organization', for convenience, but referring to any of the possibilities] and not to an individual or team of individuals not sponsored by an institution. A consortium of 2 or more organizations may present a joint bid. In this case there must be a lead organization named that will be the sole point of contact with UNICEF for contract management purposes. The organization/organizations must have a history of working with the United Nations, and by preference with UNICEF.

The organization must have had at least 2 instances within the past 5 years of leading similar formative evaluation and evaluability exercises at the institutional level. The organization must have a demonstrated work history of focus on multiple elements within the strategic plan aspects covered in this exercise, namely the strategic goals, the cross-cutting approaches, and the enablers.

The organization must share its thinking on methodological approaches to cover the requirements. Given the expected organizational particularities and novel elements in the Strategic Plan, experience in adapting methods to institutional specificities will need to be demonstrated.

The organization must nominate a team of sufficient size and skills that the work can be completed within a six-month period starting from the awarding of the contract. There is no limit on the number of team members. However, UNICEF estimates that a team of less than eight team members would run a substantial risk of failing to complete the work in the deadline.

Team Leader(s)

The team leader will direct all parts of the effort. The leader will be the person accountable in the organization's name to UNICEF. The leader will coordinate and supervise the work all teams or persons of the organization in their contributing roles. She/he will ensure the quality of the process, outputs, methodology and timely delivery of all products. The team leader will take direct responsibility for all deliverables being of satisfactory quality. The leader will ensure that the deliverables emerge in a timely fashion, following a high quality in-depth analytic process, as well as ongoing consultation with the UNICEF supervisor and the reference group.

Key Qualifications: Team Leader

The team leader will possess at least eight years of professional experience in evaluations/research/analytic review exercises, with evidence of understanding global standards, theories, models, and methods related to evaluations and research in general, institutional effectiveness evaluations, organizational change strategies and enablers, and the other aspects of the Strategic and Technical Elements described in this proposal. S/He will have proven experience in designing, leading, and conducting exercises like the scope of the present exercise,

⁹³ Geros is the UNICEF quality assurance system for evaluations. It includes an independent external review of all finished evaluative work. These external reviews are available for consultation in this exercise.

and under similarly tight timelines. S/He will have strong inter-personal skills in engaging with senior leaders, policy experts, technical experts, and global and regional partners – and, importantly, with evaluation clients. S/He will likewise have demonstrated ability to supervise a team of specialists at the talent and experience level required for this work. S/He will have excellent written and oral communication skills in English.

Key Qualifications: Evaluation Specialists and Subject Matter Experts

The specialists named in the proposal will have experience and skills that complement the Team Leader. These include:

- Expertise in subject matter areas relevant to the SP and a clear understanding of the possible cross-sectional work and systems needed for the optimal functioning of UNICEF as an organization mandated to protect child rights
- Experience in similar exercises that assess institutional effectiveness, organizational change strategies and enablers, and the other aspects of the Strategic and Technical Elements described in this proposal
- Conceptual skill at designing and interpreting theories of change at the institutional and systems level
- Knowledge of and experience with the types of data [indicators, means of verification, analysis] within their area of subject matter expertise
- At least one instance of participation as a mid-level or senior team member in an institutional effectiveness evaluation, involving organizational change strategies and enablers, preferably in their area of assigned expertise
- The ability to lead the data gathering within their area of assignment, including the management of staff or counterpart surveys, and the employment of key informant interviews
- Experience designing surveys and desk review instruments and interpreting their results

The following are significant advantages in the profile of the selected evaluation specialists:

- Participation as a team member in an institutional evaluability exercise or readiness assessment
- Prior experience evaluating or assessing the evaluability of strategic plans
- Familiarity with UNICEF institutional structures [global/regional/national/sub-national sectoral/cross-cutting/enabling] and programming goals and strategies

Other Team Members

Other team members should collectively possess the following skills:

- Familiarity or experience in the subject matter areas relevant to the SP and a clear understanding of the possible cross-sectional work and systems needed for the optimal functioning of UNICEF as an organization mandated to protect child rights
- Development of compelling graphical/visual components that clearly complex information via Infographics and other means
- Survey design and implementation and survey sampling
- Design of desk review instruments
- Data cleaning, processing, and analytical skills of quantitative data, including surveys
- Qualitative data coding and analysis
- Research and summarizing skills

Declaring Prior Work with UNICEF

Institutions and individuals may have worked for UNICEF in the past or with an implementing partner. All such affiliations must be declared within the proposal. UNICEF will review these declarations and judge the potential for conflict of interest (COI). If a COI is presumed, the bidding institution will have a limited time to propose a substitute.

Application and Evaluation Process:

It is imperative that the proposal be submitted by the deadline indicated in the e-mail, and that the financial proposal be submitted under separate cover (using the attached templated) from the technical proposal.

The Technical Proposal should include but not be limited to the following:

General Issues

The technical proposal should minimize repeating what is stated in the TOR and should emphasize the conceptual thinking and methods the organization expects to utilize

There is no minimum or maximum length. If in doubt, ensure sufficient detail

It is required within the technical proposal to show the expected level of effort [LOE] to be committed by the named team members in each phase. Cost data cannot be included within this technical proposal LOE discussion. Pools of unnamed talent [e.g., researchers performing document review] should also show the LOE for the pool. That same LOE information with additional cost data should feature in the financial proposal

Specific Reminders

Keep in mind that the following specific items are to be included, in addition to whatever other approaches and methods proposed:

- Presentation of a work plan in three phases: 1) Inception; 2) Data collection and analysis, and 3) Report Drafting and Presentation
- A discussion of the organization's familiarity with existing methods and analytic norms for evaluability exercises/readiness assessments, and its utilization of them in prior evaluative work. This is to include a perspective or a summary of the organizations competence in developing analytic norms when dealing with topics where they are incomplete
- A discussion in adequate detail of the emphases that have been identified in the TOR. Adequate detail means a demonstration of conceptual understanding of the subject matters listed above and any methodological approach beyond what UNICEF has indicated in the TOR that would be effective in investigating it
- A discussion of how the evaluability exercise/readiness assessment can be completed in the time allotted while attaining high quality. One key issue will be a strategy for generating information within and beyond UNICEF that can stand for the whole of the organization while respecting the deadline
- Identifying the risks that may be actually or potentially present for the successful execution of this assignment, and the mitigation measures that are recommended for limiting their effect
- All other contents are at the discretion of the bidder, and within these 5 items there is significant flexibility in how they could be accomplished.

Annex 3: Evaluation Reference Group

Functional Area		Key Informant	Position
Evaluation Office		Zlata Bruckauf	Senior Evaluation Specialist
		Urs Nagel	Regional Evaluation Adviser, ESARO
HQ Divisions	DAPM	Pernille Ironside	Deputy Director, DAPM
	EMOPS	Manuel Fontaine	Director, Emergency Programmes
	DFAM	Thomas Asare	Comptroller
	PG	Genevieve Boutin	Deputy Director, Programme Group
	Global Communication Advocacy	Paloma Escudero	Director, Global Communication Advocacy
	Global Insight and Policy		
	DHR	Bandjougou Magassa	Director, Human Resources
	PFP	Carla Haddad Mardini	Director, PFP
	Public Partnerships	June Kunugi	Director, Public Partnerships
	Office of Research	Gunilla Olsson	Director, Office of Research
Organizational Culture	Geetanjali Narayan	Principal Adviser	
Regional Directors		Marie-Pierre Poirier	Regional Director, WCARO
		George Laryea-Adjei	Regional Director, ROSA
		Debora Comini	Regional Director, EAPRO
External		Deborah McWhinney	WFP Evaluation Office
		Bill and Melinda Gates Foundation	TBD

Annex 4: Detailed Timeline

Stage	Activity	No of Days																Schedule (M)																	
		Nick York	Matthew Crump	Andrew Lawday	Catherine Currie	Claudia Lo Forte	Sonia Perez	Ima Bishop	Joe Watkins	Elisa Radaelli	Celine Gulliani	Mpala Nkonkomalimba	Sonal Zaveri	Scott Cameron	Expert pool	Hally Houldsworth	QA - Julian Gayfer	Total per person per stage	24/01/2022	31/01/2022	07/02/2022	14/02/2022	21/02/2022	28/02/2022	07/03/2022	14/03/2022	21/03/2022	28/03/2022	04/04/2022						
Inception	Initial meetings/ orientation	0.50	0.50	1.00	0.50	0.50	0.50	0.50	1.50	1.00		0.25	0.25					7.00																	
	Inception interviews	2.00	2.00	2.00		2.00			2.00							2.00		12.00																	
	Initial desk review/analysis	1.00			2.00	2.00	2.00	2.00	4.00	2.00		1.00	1.00		2.00			19.00																	
	Feedback workshop within team	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50		0.25	0.25	0.50			5.50																	
	Stakeholder mapping				2.00				3.00	0.50		0.50	0.50					6.50																	
	Data mapping					2.00			2.00	1.00					2.00			7.00																	
	Design / develop analytical framework	2.00	2.00	2.00	1.00	5.00			2.00						2.00		1.00	17.00																	
	Develop instruments	1.00			2.00	2.00			2.00						3.00			10.00																	
	Draft inception report	3.00	3.00	3.00		3.00			4.00	3.50			0.25	0.25	0.50	2.00	1.00	24.50																	
Finalise inception report	1.00	0.50	1.00		0.50				1.00							1.00	5.00																		
	Total Individual input	11.00	8.50	9.50	8.00	17.50	3.00	7.00	21.50	5.00	0.00	2.25	2.25	6.00	6.00	4.00	2.00	113.50																	

Stage	Activity	No of Days															Total per person per stage	Schedule (Week Commencing)																				
		Nick York	Matthew Crump	Andrew Lawday	Catherine Currie	Claudia Lo Forte	Sonia Perez	Ima Bishop	Joe Watkins	Elisa Radaelli	Celine Guiliani	Mpala Nkonkomalimba	Sonal Zaveri	Scott Cameron	Expert pool	Haily Houldsworth		QA - Julian Gayfer	04/04/2022	11/04/2022	18/04/2022	25/04/2022	02/05/2022	09/05/2022	16/05/2022	23/05/2022	30/05/2022	06/06/2022										
Data Gathering and Analysis	Initial FGDs	1.00	1.00	1.00	1.00	1.00	0.50	0.50	2.00		1.00	1.00	1.00					11.00																				
	Survey implementation					1.00			1.00					6.00		4.00		12.00																				
	Full document review - comprehensive review	1.50		3.50	3.50	4.50	5.00	4.00	5.00			1.50	1.50			2.00		32.00																				
	Full document review - deep dives	3.00		2.00	4.00	4.00	3.00	3.00	5.00		2.00	1.50	1.50					29.00																				
	KIIs - HQ and regional	5.00	3.00	3.00														11.00																				
	KIIs - sampled countries	3.00	2.00	5.00	10.00	3.00		3.00	3.00			9.00	9.00					47.00																				
	FGDs - sampled countries	1.00		1.00	1.00	1.00	1.00	1.00	1.00		1.00	3.00	3.00					14.00																				
	Review of conceptual framework	0.50		0.50	0.50	0.50												2.00																				
	Deep dives on strategies and enablers	1.00		4.00		10.00										2.00		17.00																				
	Deep dives on crosscutting issues	1.00		4.00	10.00		6.00	6.00								2.00		29.00																				
	Coding and analysis - finalisation	0.50		0.50	0.50	0.50	0.50	0.50	2.00							5.00		10.00																				
	Survey analysis								2.00						3.00			5.00																				
	Team analysis	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00	2.00		1.00	1.00	1.00	2.00	2.00	1.00	24.00																				
	Workshop on emerging findings	1.00	1.00	1.00		1.00	1.00		1.00		1.00					2.00	1.00	10.00																				
	Total Individual Input	19.50	8.00	26.50	31.50	27.50	18.50	19.50	22.00	0.00	5.00	16.00	16.00	11.00	8.00	12.00	1.00	242.00																				
Follow up analysis	1.00		1.00	1.00	1.00	1.00	1.00	1.00	1.00		1.00	0.50	0.50	1.00	1.00	1.00	12.00																					

Stage	Activity	No of Days																	Schedule (Week)					
		Nick York	Matthew Crump	Andrew Lawday	Catherine Currie	Claudia Lo Forte	Sonia Perez	Ima Bishop	Joe Watkins	Elisa Radaelli	Celine Guiliani	Mpala Nkonkomalimba	Sonal Zaveri	Scott Cameron	Expert pool	Hally Houldsworth	QA - Julian Gayfer	Total per person per stage	30/05/2022	06/06/2022	13/06/2022	20/06/2022	27/06/2022	04/07/2022
Reporting Drafting and Presentation	Zero draft report for sharing with EO	3.00	1.00	2.00	2.00	2.00	2.00	2.00	4.00		2.00	1.00	1.00		1.00		1.00	24.00						
	Total Individual Input	4.00	1.00	3.00	3.00	3.00	3.00	3.00	5.00	0.00	3.00	1.50	1.50	1.00	2.00	1.00	1.00	36.00						
	Discussion /workshops on zero draft	1.00	1.00	2.00		2.00			1.00		1.00						1.00	9.00						
	First draft report	4.00	3.00	3.00	2.00	2.00	2.00	2.00	4.00		2.00			2.00			1.00	27.00						
	Graphical/ summaries of findings		1.00		2.00				1.00	1.00					5.00	1.00		11.00						
	Final draft report discussed with key stakeholders. feedback	2.00																2.00						
	Total Individual Input	7.00	5.00	5.00	4.00	4.00	2.00	3.00	6.00	0.00	3.00	0.00		7.00	1.00	0.00	2.00	49.00						
	Address comments, gaps, follow up	2.00		1.00		2.00												5.00						
	Finalise report and presentation	2.00	2.00	1.00														5.00						
	Total Individual Input	4.00	2.00	2.00	0.00	2.00	0.00	0.00	0.00	0.00	0.00	0.00		0.00	0.00	0.00	0.00	10.00						
Wrap up/debrief	0.50	0.50						0.50									1.50							

Annex 5: Data Collection Tools

5.1.2 Survey tool – v1

Section headings appear in **red**. Anything pertaining to the build/ skip logic appears in **grey**.

SURVEY INTRODUCTORY EMAIL TO KEY INFORMANTS

Introduction

This survey is undertaken as part of UNICEF Evaluability Assessment and Formative Evaluation (EAFE), an organizational assessment of UNICEF’s positioning to achieve the goals set out in its Strategic Plan 2022-2025. This exercise is commissioned by UNICEF Evaluation Office. The survey has been prepared by IOD PARC, an independent, UK-based consulting company, in consultation with UNICEF Evaluation Office.

About UNICEF organizational readiness assessment

An organizational readiness assessment is a measurement of the preparedness of an organization to engage into a new strategy or planning cycle. The purpose of UNICEF readiness assessment is to **identify**, at an early stage, **the areas of the Strategic Plan that are well on track and those that require adjustments**, with a view to provide an early analysis of strengths and gaps as well as risks or “red flags”. This will inform early course correction in identified areas and will allow UNICEF to be optimally positioned to achieve its objectives in the five Goal Areas, in support of the 2030 Agenda.

The assessment will examine the readiness of key organizational areas identified in the Strategic Plan as follow:

- Strategic elements, namely the enablers, change strategies and cross-cutting programmes
- Technical elements, including Result-Based Management, M&E systems, theory of change and availability and use of data.

The different organizational areas will be assessed using a set of readiness criteria. The strategic and technical elements as well as the readiness criteria are presented in a one-page PDF document accessible by a link included in the survey. Please refer to this for more in-depth explanations and definitions throughout the survey.

Your Participation in the Survey

While participation in this survey is **voluntary**, we highly encourage your participation: the survey is a core data collection tool for this exercise as it is shared with UNICEF staff globally and across levels. This survey will take between 20 and 30 minutes, depending on the number of organizational areas that you are in a position/able to assess. It is not expected that all survey respondents will address every question. If you cannot answer a question, simply click 'Next' to move on to the next question.

All information provided will remain **anonymous and confidential**, and used in a non-attribution way to inform the final assessment report for UNICEF and its partners.

This survey is open until [insert date]

Contact details

If you have any questions or concerns about the survey, you can contact:

- Joe Watkins, IOD PARC Project Manager – joewatkins@iodparc.com
- Scott Cameron, IOD PARC Creative Lead – scott@iodparc.com
- Samuel Bickel, UNICEF Evaluation Office - sbickel@unicef.org
- Kathleen Letshabo, UNICEF Evaluation Office - kletshabo@unicef.org
- Kamilla Nabiyeva, UNICEF Evaluation Office - knabiyeva@unicef.org

SURVEY

RESPONDENT DETAILS

D1. How would you describe your gender? (Select one)

- Female
- Male
- Gender variant/ non-conforming/ non-binary
- Prefer not to say
- Prefer to self-describe

Optional text box*

D2. How long have you been employed by UNICEF cumulatively over your career? (Select one)

- 2 years or less
- Between 3 to 5 years
- Between 6 to 10 years
- Between 11 to 20 years
- More than 20 years

D3. What UNICEF organizational level do you work at? (Select one)

- HQ
- Region
- Country and area level
- Sub-National/ field office
- Other

D4. Please indicate the region you are working in (Select one)

- New York HQ
- Other HQ
- East Asia and Pacific (EAPR)
- Eastern Europe and Central Asia (ECAR)
- Latin America and Caribbean (LACR)
- Middle East and North Africa (MENAR)
- South Asia (SAR)
- Eastern and Southern Africa (ESAR)
- West and Central Africa (WCAR)

Branching logic – IF (respondent selects Country and area level or Sub-National/ field office in D5) THEN display option

D5. What country is your work primarily associated with? (Select one)

- List all countries

D6. Which of the below best describes your area of work? (Select one)

- Programme/ policy
- Operations
- External relations
- Evidence
- (Deputy) Heads of Office/ Division
- Other

D7. Do you work primarily in emergency or development contexts? (Select one)

- Development
- Emergency
- Both
- Neither

SECTION 1: THE STRATEGIC PLAN 2022-25

How familiar are you with the UNICEF Strategic Plan 2022-2025? (Select one)

- (1) Not at all familiar – I have not read or heard about the SP.
- (2) Slightly familiar – I have read or heard about the SP.
- (3) Reasonably familiar – I have used and integrated the SP into my work on several occasions.
- (4) Very familiar - I use and integrate the SP into my work regularly.
- (5) Extremely familiar – The SP is central to my work.

How have you been exposed to the UNICEF Strategic Plan 2022-2025?

	Never	Once	Twice	Three times	Four or more times	k) Do not know
I have read the SP						
I was consulted in the development of the SP						
I have attended an informational seminar on the SP						
I have watched webinars organised by HQ						

I have used the SP in the development of my workplan						
I have used the SP in other strategic planning processes						
I have used the SP in monitoring and evaluation processes						

How successful is the SP in presenting a coherent vision for UNICEF and partners? (Select one)

- (1) Not at all successful
- (2) Slightly successful
- (3) Reasonably successful
- (4) Very successful
- (5) Extremely successful

How easily can the SP be used to develop lines of action [i.e. is it actionable or vague]? (Select one)

- (1) Not at all actionable/extremely vague
- (2) Only slightly actionable/very vague
- (3) Reasonably actionable/some parts are vague
- (4) Very actionable/only slightly vague
- (5) Extremely actionable/not at all vague

How influential is the SP likely to be in the design of UNICEF CPDs?

- (1) Not at all influential
- (2) Slightly influential
- (3) Reasonably influential
- (4) Very influential
- (5) Extremely influential

SECTION 2: DELIVERY

This section of the survey seeks your views on how well UNICEF is set up as an organization to deliver on the goals of the 2022-25 Strategic Plan. You will be asked to **rate the extent to which key organizational areas (enablers, change strategies and cross-cutting programmes) outlined in the Strategic Plan are well-established and fit-for-purpose.**

As your knowledge may vary on the enablers, change strategies and cross-cutting programs, you first have the option to select the areas that you feel prepared to assess. The survey will then display questions for the areas that you have selected.

Familiarity/Selection of items to assess

Response options

- a) I feel informed enough to offer my view
- b) I do not feel informed enough to offer my view

How comfortable do you feel assessing Enablers? (Select one)

Enablers	A (I feel informed enough to offer a view)	B (I do not feel informed enough to offer a view)
Accelerated resource mobilisation		
Agile, responsive business model		
Dynamic and inclusive people and culture		
Decentralised and empowered internal governance and oversight		
Strategic internal communications and staff engagement		

How comfortable do you feel assessing Change Strategies? (Select one)

Change Strategies	A (I feel informed enough to offer a view)	B (I do not feel informed enough to offer a view)
Advocacy and communications		
Community engagement, social and behaviour change		
Data, research, evaluation and knowledge management		
Digital transformation		
Gender transformative programming		

Innovation		
Partnerships and engagement: public and private		
Risk-informed humanitarian and development nexus programming		
Systems strengthening to LNOB		

How comfortable do you feel assessing the Cross-cutting programmes? (Select one)

Cross-cutting programmes	A (I feel informed enough to offer a view)	B (I do not feel informed enough to offer a view)
Climate Action		
Disability		
Gender		
Peacebuilding		
Resilience		

How adequately positioned are organizational elements at the start of the SP?

In this section, you are asked to assess the extent to which key organizational areas (enablers, changes strategies and cross-cutting programs as detailed in the UNICEF Strategic Plan 2022-2025) are ‘ready’ to deliver on the goals of the Strategic Plan. Ready refers to the way those areas are configured to best meet UNICEF’s objectives. In other words, how well-suited are those organizational areas to deliver on the objectives of the Strategic Plan 2022-2025 in the foreseen context.

The following questions are framed around five readiness assessment criteria defined in the tables below: (1) Approach, (2) Positioning, (3) Resources, (4) Technical Capacity and (5) Partnerships. A reminder that more detailed definitions of the readiness criteria are available here:

[LINK](#)

Branching logic – IF (the respondent selected option A in Familiarity/Selection of items to assess section) THEN display option

How ready are each of the key organizational areas? In other words, how would you describe their current status/development stage?

Revised options (in alignment with rating scale in IR)

- c) Not ready - insufficient to support implementation of the change strategy, enabler or cross-cutting programme.
- d) In progress - shows initial readiness for supporting implementation of the change strategy, enabler or cross-cutting programme.
- e) Partially ready - ready to support implementation, but not ready to contribute to priority outcomes needed to implement the change strategy, enabler or cross-cutting programme.
- f) Ready - very good amount of evidence that the element supports the implementation of the change strategy, enabler or cross-cutting programme with robust evidence towards achievement of outcomes.
- g) Optimized – fully supports implementation of the change strategy, enabler or cross-cutting programme and helps generate priority outcomes / medium-term changes.
- h) Do not know

Enabler 1: Accelerated resource mobilisation

	f) Not ready	g) In progress	h) Partially ready	i) Ready	j) Optimized	k) Do not know
Approach (e.g.: Relevant and realistic scope; clear policies; logical sequencing; well-socialized amongst staff; coherent with wider frameworks)						
Positioning (e.g. :Business agility; resource maximization, appropriate governance and oversight functions; efficient structure and division of roles and responsibilities; integrated programming)						
Resources (e.g.: Optimal use of financial, human, knowledge resources; accessibility to staff/activities/areas; well-resourced support functions)						
Technical capacity (e.g.: Staff skills, experience and knowledge; availability of tools, systems and training/professional development; organizational learning)						
Partnerships (e.g.:Selection of strategic partners; supports UNICEF comparative advantages; multiplier-effect; optimization of UNICEF organizational areas)						

Repeat for those displayed

2. Agile, responsive business model
3. Dynamic and inclusive people and culture
4. Decentralized and empowered internal governance and oversight
5. Strategic internal communication and staff engagement

Change Strategy

6. Advocacy and communications
7. Community engagement, social and behavior change
8. Data, research, evaluation and knowledge management
9. Digital transformation
10. Gender transformative programming
11. Innovation
12. Partnerships and engagement: public and private
13. Risk-informed humanitarian and development nexus programming
14. Systems strengthening to LNOB

Cross Cutting Programme

15. Climate Action
16. Disability
17. Gender
18. Peacebuilding
19. Resilience

SECTION 3: MEASURING PROGRESS

In this section, you will be asked to rate how well UNICEF is set up to measure progress towards the goals of the Strategic Plan, against a set of 'Technical elements' covering the monitoring and evaluation functions of the organization. The following questions are framed around three assessment criteria defined below: (1) Presence/Existence, (2) Positioning/fit-for-purpose and (3) Resources.

Reminder that detailed definitions of the five readiness criteria are available here: [LINK](#)

Readiness assessment of technical elements: (Select one)

Response options

- c) Not ready - insufficient to support implementation of the Strategic Plan.
- d) In progress - shows initial readiness for supporting implementation of the Strategic Plan.
- e) Partially ready - ready to support implementation, but not ready to contribute to priority outcomes needed to implement the Strategic Plan.
- f) Ready - very good amount of evidence that the element supports the implementation of the Strategic Plan with robust evidence towards achievement of outcomes.
- g) Optimized – fully supports implementation of the Strategic Plan and helps generate priority outcomes / medium-term changes.
- h) Do not know

Technical Element 1: Clarity and Quality of the Strategic Plan and Objectives

	f) Not ready	g) In progress	h) Partially ready	i) Ready	j) Optimized	k) Do not know
Presence e.g.: (exists; clearly defined; clear objectives; utility and application are well understood by the relevant staff and partners)						
Fit for purpose (e.g.: clear linkages to the goals of the SP; clear alignment with UNICEF and UN-wide normative frameworks).						
Resourcing (e.g.: appropriate financial, human, knowledge resources; timing of disbursement; well-equipped in terms of support functions)						

Repeat for the following

2. Alignment and integration of M&E with the SP and with system wide goals
3. Theories of change
4. RBM systems and principles
5. M&E systems
6. Use of evidence to inform decision making
7. Incorporating Children's Voices

SECTION 4: COHERENCE

In general, to what extent are the UNICEF Goal Areas, Cross-cutting issues, Change Strategies, Enablers and M&E components coherent to one another/well-articulated/feeding into one another? Are the design and coordination of the various aspects of the Strategic Plan 2022-2025 connected in a clear, coherent manner, optimizing their beneficial multiplier effects and minimizing duplication of efforts? Please include a response in the matrix for how coherent an area is within itself (e.g. Thinking about Enablers to other Enablers). (Matrix)

Response options

- i) Design and coordination are disconnected
- j) Design and coordination are somewhat disconnected
- k) Design and coordination are somewhat mixed in how they connect to other elements
- l) Design and coordination are somewhat synergized
- m) Design and coordination are highly synergized
- n) Do not know

	UNICEF Goal Areas	Cross-cutting issues	Change Strategies (Strategic elements)	Enablers (Strategic elements)	M&E components (Technical elements)
UNICEF Goal Areas					
Cross-cutting issues					
Change Strategies (Strategic elements)					
Enablers (Strategic elements)					
M&E components (Technical elements)					

SECTION 5: FACTORS AFFECTING SP DELIVERY

Which key internal factors are likely to impact UNICEF's ability to leverage the different organizational areas to achieve maximum results during the SP 2022-2025? (text)

Which key external factors (relating to external events, influences, partnerships etc.) are likely to influence UNICEF's ability to leverage the different organizational areas to achieve maximum results during the SP 2022-2025? (text)

CASE STUDIES / DEEP DIVES (TBC)

Key Informant Interview Topic Guide

UNICEF Evaluability Assessment

Inception Interview Guide

Date:

Name(s) and job title(s) of interviewee:

Division/CO:

Name(s) of interviewer:

Note: Assume the interviewees are aware of the SP and have been somewhat involved in its design.

Quick introduction to our work and our roles. Then ask interviewee to introduce themselves (to ascertain their role and interest in our work). Stipulate confidentiality and what we will do with the notes.

1. What does the current SP mean to you e.g., vision it communicates of UNICEF role and ambitions for this strategic period, practical difference to your work?
2. What are the most important issues for us to focus on in the Evaluability Assessment and Formative Evaluation, that will help UNICEF to deliver on the SP?
3. Specifically in relation to the change strategies and enablers, what areas would you expect to be critically important for UNICEF to keep in view in delivering the SP. Please help identify strengths and/or weak spots/red flag areas?
4. How has the SP been communicated to the entire organization? What were the processes for facilitating internal consultation? Is the SP well understood and are the definitions and concepts in the SP clear, particularly the change strategies and enablers? Which need more fleshing out?
5. What are the key internal and external factors that you expect will affect, positively or negatively, readiness for implementation of the SP?
6. Any specific issues around evaluability i.e., technical aspects of monitoring and evaluation, theory of change, clarity of the enablers and change strategies in terms of definitions
7. What are key lessons to consider from the implementation of the previous strategic plan (2018-2021)? Can you provide an example of good lessons in terms of priorities that were identified and acted upon?
8. List of key informants and stakeholders, especially in your own area of work and for external partners, that we should interview.
9. Is there anything else you would like to add?

If useful from discussion with key informant:

10. Any other key documents and data sources that will be useful e.g., evaluations, studies, ongoing strategies/programme documents.

11. Sampling: in terms of areas less researched and other dimensions that might affect the choice of countries – any issues to consider?

Thanks, and option to follow up if anything unclear

Methodology for M&E Analysis

It is proposed that an in-depth review of the logical flow in the SP's ToC and its assumptions, review of the Results Framework, especially to assess UNICEF ability to measure outcome-level changes. It will also include analysis of the M&E system, how this is systematized from global to country level, what are the strengths and weaknesses in data collection processes and sources of data as well as practices and culture around the use of data and evidence.

Annex 6: Stakeholder Mapping and Analysis

Audience		Stakeholder Group/Specific Stakeholder	Reason for Interest in Work	Engagement Modalities	Expected Benefits from Work
1 st	2 nd				
Ü		Service group: Senior Management Team including Office of the Executive Director	Support implementation of Strategic Plan and achievement of results Evaluation and learning will support design and development of future Strategic Plans, the strategies, and enablers	Continued discussions and engagement as set out in section xxxx Workshops	Insights to support the management of the current Strategic Plan and the development of future plans Contribute to the development of the strategies and enablers by sharing recommendations with those who are responsible for course correction etc.
Ü		Service group: Strategies and Enabler lead coordinators	To understand the readiness assessment and inform future discussions To understand how to improve results	Workshops Targeted communication	Supported by reflecting on readiness of area of responsibility and ways in which to move forward An understanding of progress against desired objectives
Ü		Service group: other actors involved in management and delivery of Strategic Plan e.g., Division of DAPM	Support implementation of Strategic Plan and achievement of results Evaluation and learning will support design and development of future Strategic Plans, the strategies, and enablers	Continued discussions and engagement as set out in section xxxx Workshops	Insights to support the management of the current Strategic Plan and the development of future plans Contribute to the development of the strategies and enablers by sharing recommendations with those who are responsible for course correction etc.
Ü		MEL group: Evaluation Office and others with MEL responsibilities		Operational coordination and management reporting every two weeks	
Ü		Users group: Strategic and implementing partners who use services provided by service group.			
Ü		Users group: Regional bureaux and Select country programmes		Discussion of emerging findings (prior to zero draft)	Contribution to the evidence base on the conditions for change in different contexts

ü		Users group: Select global programmes	<p>To understand how the strategies and enablers relate to their plans and programmes</p> <p>Engagement by technical staff will serve to strengthen findings and increase utility of learning process</p>	Final evaluation report	<p>Engage those already active and interested</p> <p>Amplify interest</p>
ü		Users group: Select thematic leads			

Annex 7: Selection of evaluations for meta-analysis

Meta-analysis of key evaluation portfolio (2018-2022)

Key word	Title	Author	Date	Level
	SP 2018-2021 Evaluation incl. Annexes	UNICEF	2020	HQ
	UNICEF Innovation evaluation report Digital 270120	UNICEF	2020	HQ
	Child Protection Systems Evaluation 2018-016	UNICEF	2018	HQ
	UNFPA-UNICEF Global Programme to Accelerate Action to End Child Marriage 2019-Evaluation	UNICEF	2019	HQ
	Final Evaluation Report education in humanitarian settings	UNICEF	2019	HQ
	Formative Evaluation of UNICEF Work to Link HDN	UNICEF	2021	HQ
	UNICEF ECD Global Evaluation June 2021 (1)	UNICEF	2021	HQ
Evaluation	UNICEF GAP Evaluation Final (3)	UNICEF	2019	HQ
	Evaluation of young people and peacebuilding 2020	UNICEF	2020	HQ
	Formative Evaluation Report-Inclusive Education for Children with Disabilities Web (1)	UNICEF	2019	HQ
	An evaluation of approaches to social protection programming in humanitarian situations, focusing on cash-based programming	UNICEF	2021	HQ
	Global Evaluation of UNICEF's WASH Programming in Protracted Crises, 2014-19	UNICEF	2020	HQ
	Evaluation multi-pays de la réponse au COVID-19 from WCAR.	UNICEF	2021	Regional Level
	Joint report on evaluability assessment of the Common Chapter	UNICEF	2020	HQ
	UNICEF-Climate Environment Readiness Assessment Report (1)	UNICEF	2020	HQ
Assessment	Readiness Assessment: Business for Results	UNICEF	2021	HQ
				Regional Level
	MENA Real Time Assessment final: COVID-19 Response RTA of the UNICEF ongoing response to COVID-19 at country level LAC region	UNICEF	2021	Regional Level
		UNICEF	2021	Level
Analysis	GEROS Meta Analysis 2016-2018	UNICEF	2018	HQ
	UNICEF Regional Evidence Diagnostics Final Synthesis Report	UNICEF	2020	Regional Level
	Report on the midterm review of the UNICEF Strategic Plan, 2018-2021	UNICEF	2020	HQ
Review	Quality Review for 2019 CPDs and PSNs	UNICEF	2019	HQ
	Global Report - Rapid Review of Global SP Responses to COVID-19 Pandemic - 26082021 (2)	UNICEF	2021	HQ
	Task Team 3 Recommendations on Business Process Simplification, Modernization and Recalibration	UNICEF	2020	HQ
	Sri Lanka	UNICEF	2022	Country (SAR)
	Tajikistan	UNICEF	2022	Country (ECARO)
CPE	Libya	UNICEF	2021	Country (MENAR)
	Thailand	UNICEF		Country (EAPRO)
	Eswatini	UNICEF	2019	Country (ESARO)
	Evaluability Assessment of UNICEF Sierra Leone Country Programme (2020-2023)	UNICEF	2021	Country (WCARO)

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Annex 9: Ethical Protocols and Informed Consent

The data collection will be conducted virtually. The evaluation team will inform UNICEF of any changes in the research protocol or evaluation design that require further adaptation due to COVID-19 or any other reason.

Required Considerations for Evaluation Data Collectors

Referrals

If the interviewee appears upset, distressed, or discloses serious past harms or imminent risks to themselves, then pause the interview.

- Ask if the interviewee would like to stop the interview or take a break. There is no need to continue now (or at all) if the person prefers
- Ask the interviewee if they have someone or somewhere (a service) that they get help from, or if they would like to be referred
- If they would like to be referred to a service, tell them that you will get the referral information to them (within 24 hours if they are not at imminent risk). We will ask UNICEF for the referral service and provide the information to the interviewee
- If someone discloses that they are at imminent risk of harm, phone your research supervisor immediately who will action the response via UNICEF or emergency services as appropriate

Informed Consent

Informed consent is the voluntary agreement of an individual, or his or her authorized representative, who has the legal capacity to give consent, and who exercises free power of choice, without undue inducement or any other form of constraint or coercion to participate in research. The individual must have sufficient knowledge and understanding of the nature of the proposed evidence-generating activity, the anticipated risks and potential benefits, and the requirements or demands of the activity to be able to make an informed decision. (UNICEF Procedure for Ethical Standards in Research, Evaluation, Data Collection and Analysis, 2015).

- If you have reason to believe that someone is not in a position to provide informed consent, pause and check...
- Are they able to speak freely (i.e., not being overheard by someone else), and talk to you more about whether they are choosing freely to participate?
- Do they sufficiently understand the purpose and process of the research? Can explaining it more carefully and clearly help?
- If you continue to have reason to believe that someone is not in a position to provide meaningfully informed consent, take the following steps:
- If you suspect the person is under duress or any stress, ask them if they would like a referral to someone who may be able to help, or if that does not seem appropriate (because they have not disclosed duress) ask if you or a team member can follow up with them at a later date (this would be to ask if they need help or a referral)
- If you suspect that the person is not in a position to give informed consent because they do not understand the process, then carefully end the interview: do not unnecessarily abruptly end the interview
- In all cases, write a record of your reasons and evidence and inform your research supervisor straight away

Know your Interviewee

- This is more than a basic courtesy to know in advance who you are meeting with, what their role is, and what their relationship to the project is
- It will help you understand if there are any questions that should be tailored to the interviewee, and whether there are any particular ethical or safeguarding considerations that should be followed
- You may not be able to get more than very basic information about a person (e.g., their name, job title) before meeting with them, so ensure that you give them the opportunity to introduce themselves at the start of the meeting so you can tailor your approach as needed

Informed Consent Protocol: Key Informant Interviews (Emailed in Advance to Participants)

This information sheet is for participants who participate in a key informant interview for the evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025.

About this Evaluation

We are conducting the Evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025 commissioned by the UNICEF Office of Evaluation. We are an independent team that works for IOD PARC. You can contact us at any time if you have any questions:

- Nick York, Team Leader – nick@iodparc.com
- Matthew Crump, Deputy Team Leader – matthew@iodparc.com
- Claudia Lo Forte, Child Protection Expert - claudia@iodparc.com
- Joe Watkins, Project Manager, and Researcher – joewatkins@iodparc.com

If you have any concerns or would like to speak to the UNICEF Evaluation Office who is commissioning this evaluation you can contact:

- Samuel Bickel, sbickel@unicef.org
- Kathleen Letshabo, kletshabo@unicef.org

Purpose and Objectives of the Evaluation

- The objective of this exercise is to determine whether the Strategic and Technical Elements supporting the operationalization and implementation of the Strategic Plan 2022-2025 are in place and adequately positioned to help maximize the likelihood of success of UNICEF and its partners
- The evaluation will help (i) guide UNICEF toward near-term adjustments that will ensure a dynamic, responsive, and nuanced institutional enabling environment for the SP 2022-2025, and (ii) putting in place the conditions for a full and meaningful evaluation of the Strategic Plan by the end of 2024
- The purpose of the exercise will be to give UNICEF time to plan and implement any necessary adjustments to accelerate, scale up and adapt in its path to achieving its Goal Area targets in support of the 2030 Agenda – the ultimate purpose being to help maximize the likelihood that UNICEF, together with its partners, will succeed in achieving the results envisioned in the SP 2022-2025

About this Interview

We are contacting you to discuss your experience of the UNICEF Strategic Plan 2022-2025. We plan to conduct a semi-structured interview – that is, we have a set of key questions we would like to ask you, but we will also make sure you can express your views freely and openly. We will conduct the interviews in a discussion format.

The interview should take no more than an hour of your time and will be conducted remotely. We have access to several online platforms (Zoom, MS Teams, Skype, and others). We will send you a meeting invite with password using the platform you feel most comfortable using.

Your Participation is Voluntary

Your participation in the discussion and the evaluation is entirely voluntary. There are no problems or consequences if you prefer not to participate, or if you prefer not to answer one or more questions.

Your Privacy and Confidentiality

We want to reassure you that anything you say during the discussion will not be attributed to you personally in any reports by the evaluation team.

You can choose to keep your camera off during the discussion, but we need to hear your voice. You can choose what name you would like to be referred to during the discussion when you log into the call.

We will not record the video call of the discussion. A note taker will write notes of the topics and conversations. Our notes of this and other interviews are kept confidential and within the independent evaluation team. We keep notes for six months after the evaluation, but we will then delete them.

Informed Consent

The information provided here is to allow you to be fully informed to consent to participate in the focus group discussion. At the start of the interview, we will ask you if you have read this information sheet, and if you have any questions, before asking you to confirm that you are providing your consent to participate. You are welcome to get in touch with us before the meeting with any questions.

Informed Consent Protocol: Focus Group Discussions (Emailed in Advance to Participants)

This information sheet is for participants who participate in a key informant interview for the evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025.

About this Evaluation

We are conducting the Evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025 commissioned by the UNICEF Office of Evaluation. We are an independent team that works for IOD PARC. You can contact us at any time if you have any questions:

- Nick York, Team Leader – nick@iodparc.com
- Matthew Crump, Deputy Team Leader – matthew@iodparc.com
- Claudia Lo Forte, Child Protection Expert - claudia@iodparc.com
- Joe Watkins, Project Manager, and Researcher – joewatkins@iodparc.com

If you have any concerns or would like to speak to the UNICEF Evaluation Office who is commissioning this evaluation you can contact:

- Samuel Bickel, sbickel@unicef.org
- Kathleen Letshabo, kletshabo@unicef.org

Purpose and Objectives of the Evaluation

- The objective of this exercise is to determine whether the Strategic and Technical Elements supporting the operationalization and implementation of the Strategic Plan 2022-2025 are in place and adequately positioned to help maximize the likelihood of success of UNICEF and its partners
- The evaluation will help (i) guide UNICEF toward near-term adjustments that will ensure a dynamic, responsive, and nuanced institutional enabling environment for the SP 2022-2025, and (ii) putting in place the conditions for a full and meaningful evaluation of the Strategic Plan by the end of 2024
- The purpose of the exercise is to give UNICEF time to plan and implement any necessary adjustments to accelerate, scale up and adapt in its path to achieving its Goal Area targets in support of the 2030 Agenda – the ultimate purpose being to help maximize the likelihood that UNICEF, together with its partners, will succeed in achieving the results envisioned in the SP 2022-2025

About this Focus Group Discussion

The discussion should take no more than 90 minutes, using Zoom.⁹⁴ We will send you a meeting invite with password.

We are bringing together stakeholders such as yourself to discuss [Delete the ones that don't apply]
... | ... | ... | ...

Your Participation is Voluntary

Your participation in the discussion and the evaluation is entirely voluntary. There are no problems or consequences if you prefer not to participate, or if you prefer not to answer one or more of the questions.

Your Privacy and Confidentiality

⁹⁴ We have access to several online platforms, including Zoom, MS Teams, Skype and others. While scheduling the FGD, we will agree with stakeholders which online platform to use, based on their preference and what they feel most comfortable using.

The focus group discussions (FGDs) will be kept confidential from anyone outside the group and the evaluation team. We want to reassure you that anything you say during the discussion will not be attributed to you personally in any reports by the evaluation team. **We will ask all participants to respect each other's privacy and confidentiality.** However, you may prefer to share information or views with us afterwards if you prefer not to share them in the group discussion.

We can arrange for an interview with you, instead of the group session if you prefer.

You can choose to keep your camera off during the discussion, but we need to hear your voice. You can choose what name you would like to be referred to during the discussion when you log into the Zoom call.

We will not record the video call of the discussion. A note taker will write notes of the topics and conversations. Our notes of this and other interviews/FGDs are kept confidential to the independent evaluation team. We keep notes for six months after the evaluation, but we will delete them then.

Informed Consent

The information provided here is to allow you to be fully informed in consenting to participate in the focus group discussion. At the start of the meeting, we will ask all participants if they have read this information sheet, and if there are any questions, before asking participants to confirm that they are providing their consent to participate.

You are welcome to get in touch with us before the meeting with any questions.

Informed Consent Protocol: Survey (Written Introduction to the Survey)

Introduction

This survey has been prepared by IOD PARC, a UK-based company conducting the evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025.

About this Evaluation

We are conducting the Evaluability assessment and formative evaluation of UNICEF positioning to achieve the goals of the Strategic Plan 2022-2025 commissioned by the UNICEF Office of Evaluation.

The purpose of this evaluation is to give UNICEF time to plan and implement any necessary adjustments to accelerate, scale up and adapt in its path to achieving its Goal Area targets in support of the 2030 Agenda – the ultimate purpose being to help maximize the likelihood that UNICEF, together with its partners, will succeed in achieving the results envisioned in the SP 2022-2025.

Your Participation in the Survey

Your participation in this survey is **voluntary** and all the information you provide will remain **anonymous and confidential**. The information provided will be used only in our evaluation report for the UNICEF and its partners. No information will be attributed to you or your organization in any part of the evaluation report. Any identifying information you submit will be removed before sharing the survey results with UNICEF.

We do not expect all respondents to address every question. If you do not wish to answer any of the questions, click 'Next' to move onto the next question.

This survey is open until [insert date]

Contact details

We are an independent team that works for IOD PARC. You can contact us at any time if you have any questions:

- Nick York, Team Leader – nick@iodparc.com
- Matthew Crump, Deputy Team Leader – matthew@iodparc.com
- Claudia Lo Forte, Child Protection Expert - claudia@iodparc.com
- Joe Watkins, Project Manager and Researcher – joewatkins@iodparc.com

If you have any concerns or would like to speak to the UNICEF Evaluation Office who is commissioning this evaluation you can contact:

- Samuel Bickel, sbickel@unicef.org
- Kathleen Letshabo, kletshabo@unicef.org