

Evaluation of Innovation

INCEPTION NOTE ANNEXES

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The author's views expressed in this publication do not necessarily reflect the views of the UNICEF.

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List of Acronyms

AG	Advisory Group
CMAM	Community-Based Management of Acute Malnutrition
CO	Country Office
COAR	Country office annual report
CVA	Cash and Voucher Assistance
CRC	Convention on the Rights of the Child
DAPM	Division of Analysis, Planning and Monitoring
DCOE	Digital Centre of Excellence
EAPRO	East Asia and the Pacific Regional Office
ECARO	Europe and Central Asia Regional Office
EM	Evaluation Manager
EO	Evaluation Office
EQ	Evaluation Question
ERG	Evaluation Reference Group
ESARO	East and Southern Africa Regional Office
FGD	Focus Group Discussion
GAHI	Global Alliance for Humanitarian Innovation
GCA	Division of Global Communication and Advocacy
GEROS	Global Evaluation Reports Oversight System
GHL	Global Humanitarian Lab
GIB	Global Innovation Board
GIPs	Global Innovation Portfolios
GSSC	Global Shared Services Center
HQ	Headquarters
ICTD	ICT Division
ICRC	International Committee of the Red Cross
IF	Innovative Finance
IR	Inception Report
ISC	Innovation Steering Committee
KII	Key Informant Interview
LACRO	Latin America and the Caribbean Regional Office
LNOB	Leave no one behind
M&E	Monitoring & Evaluation
MENARO	Middle East and North Africa Regional Office
MICS	Multiple Indicator Cluster Surveys
NGO	Non-governmental organisation
OECD	The Organization for Economic Cooperation and Development
OoI	Office of Innovation
PPF	Division of Private Fundraising and Partnerships

PG	Programme Group
PIC	Product Innovation Centre
PPD	Public Partnerships Division
PwD	Persons with disabilities
QA	Quality Assurance
R&I	Research and Innovation
RO	Regional Office
ROSA	Regional Office for South Asia
SD	Supply Division
SDG	Sustainable Development Goal
SOP	Standard Operations Procedure
SWAP	System-wide Action Plan
T4D	Technology 4 Development
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNCT	United Nations County Team
UNDP	United Nations Development Programme
UNDIS	United Nations Disability Inclusion Strategy
UNIN	United Nations Innovation Network
UNICEF	United Nations Children's Fund
WASH	Water sanitation and hygiene
WCARO	West and Central Africa Regional Office
WFP	World Food Programme
WHO	(United Nations) World Health Organization
WHS	World Humanitarian Summit

- **ANNEX 1: TERMS OF REFERENCE**

Available here: [ToR Evaluation of Innovation 1 October 2024](#)

● ANNEX 2: EVALUATION MATRIX AND DEFINITIONS

○ 2.1 Evaluation matrix

The evaluation matrix specifies the indicators, data sources and data collection methods for each question. Where Evaluation Question (EQ) numbers are not specified we expect the method to answer all sub-questions under the objective. Initial indicators are provided but may be updated through the document review and comparative analysis process.

Evaluation questions under each objective	Key elements	Methods	Indicators
Objective 1: Assessing the relevance, coherence and sustainability of institutional arrangements			
1.1. How well do UNICEF governance structures, systems, and processes support the integration of innovation as a change strategy? 1.2. Are the roles and responsibilities related to innovation and outlined in the Accountability Framework clear and coherent across global, regional, and country levels? 1.3. How effectively are the Headquarters, regional, and country offices linked and coordinated to support innovation efforts? Are there mechanisms in place to ensure alignment and collaboration across these levels, and how can they be improved? 1.4. How effectively are resources (including financial, human and technical), allocated and utilized across the organization to foster and support innovation?	Institutional capacities <ul style="list-style-type: none"> ● Governance ● Systems ● Processes ● Capacities ● Resourcing ● Partnerships ● Organisational culture ● Internal coherence Strategic goals (1.8): <ul style="list-style-type: none"> ● Goals 1-5 in the strategic plan covering health, education, protection, WASH, and social protection 	<ul style="list-style-type: none"> ● Background document review, including a review of key strategies/ frameworks: Change strategy, Accountability framework, Strategic goals for partnerships ● A systematic review (particularly focussed on 1.1, 1.3, 1.4, 1.5, 1.7, 1.8) ● Comparative analysis with other organisations (esp focussed on 1.1, 1.4, 1.5, 1.6, 1.8) ● Financial Review, including benchmarking resourcing in comparative organisations and sectors (1.4) ● Survey (1.1, 1.2, 1.3, 1.4, 1.6, 1.7, 1.8) 	<ul style="list-style-type: none"> ● Actions made against recommendations from the 2019 evaluation and 2022 institutional assessment ● Existence of policies/frameworks for innovation ● Clarity of roles in accountability documents ● Perceptions on the interplay between innovation structures and wider organisational structures ● Perception of coherence and alignment in roles and responsibilities across levels ● Participation and decision-making within coordination mechanisms ● Level of alignment in strategy documents and actions across levels ● Existence of clear problem statements for innovation to address ● Resource allocation relative to other organisations and sectors

<p>1.5. What mechanisms are in place to ensure the sustainability of innovation initiatives within UNICEF?</p> <p>1.6. How does UNICEF organisational culture support or hinder innovation?</p> <p>1.7. What capacity-building initiative exists to empower staff at all levels to engage in innovative practices?</p> <p>1.8. How effective are UNICEF partnerships in supporting innovation efforts? How do these partnerships align with UNICEF strategic goals?</p>		<ul style="list-style-type: none"> ● Global KIIs with governance groups, staff at HQ, ROs and COs (all) ● Global KIIs with partners and global actors (1.3, 1.4, 1.5, 1.6, 1.7 1.8) ● Analysis of findings against ToC assumptions on an innovative culture (summarised in the definition below) and on resourcing (1.4, 1.6) ● Findings will be reviewed against indicators of innovation success from UNIN and OECD Oslo Manual frameworks 	<ul style="list-style-type: none"> ● Perception on whether sufficient resources are secured for innovation ● Utilisation rates and gaps in financial, human, and technical resources ● Existence of sustainability plans ● Long-term funding sources ● Adoption rates for innovations being integrated into programmes ● Clarity of processes for resource allocation including selection, transitioning to new stages, pausing, ending or handing-over an innovation ● Use of evidence in decision-making for these processes ● Staff perceptions of risk tolerance, failure and innovation support (including whether this is accessible and inclusive) ● Staff perceptions on culture of innovation including innovative mindset, enhanced capacities, and leaders championing innovative approaches and solutions (see definition below) ● Examples of failure informing learning and adaption ● Mechanisms to manage risk and uncertainty in alignment with UNICEF's broader culture ● Presence of capacity-building and innovation-focused training ● Staff participation and feedback on innovation-related capacity building ● Alignment of partnership outcomes with strategic goals
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Objective 2: Relevance, efficiency, effectiveness and sustainability of **approaches**, including alignment with strategic goals

<p>2.1. How well do UNICEF innovation approaches align with its strategic goals?</p> <p>2.2. How well do the UNICEF innovation approaches serve the particular needs of the most vulnerable, including considerations for gender, equity, and disability inclusion?</p> <p>2.3. To what extent is UNICEF's work on innovation aligned to SDG priorities for children and young adults?</p> <p>2.4. To what extent did the innovation approaches contribute to organisational outcomes and to a stronger innovation ecosystem in UNICEF?</p> <p>2.5. How efficiently are resources utilised in these innovation approaches, and what improvements can be made?</p> <p>2.6. What measures are in place to ensure the sustainability of the innovation approaches and their continued relevance over time?</p>	<p>Types of solution:</p> <ul style="list-style-type: none"> ● data, ● digital, ● innovative finance ● product, ● social <p>Approaches:</p> <ul style="list-style-type: none"> ● Nodes ● Venture fund ● Innovation portfolios ● Hubs (learning, wash, IF) ● GIGA ● Product innovation centre ● Global network of field-based innovation and tech professionals <p>Strategic goals</p> <ul style="list-style-type: none"> ● Goals 1-5 in the strategic plan covering health, education, protection, WASH, and social protection 	<ul style="list-style-type: none"> ● Background document review, particularly focussed on alignment (2.1, 2.3) ● Literature and evaluation review on innovation approaches and sustainability (2.4 and 2.6) ● Portfolio analysis ● Secondary data ● Global KIIs with gender and disability inclusion experts (2.2) ● Global KIIs with Governance groups (2.1) ● Global KIIs with innovation implementers, ROs and COs (2.2, 2.4, 2.5, 2.6) ● Review of budget information related to innovation Teams (2.5) ● Analysis of findings against ToC assumptions on a stronger innovation system (2.4, also summarised in the definition below) ● Findings will draw upon principles for digital development and 5D framework. Findings will be reviewed against indicators of innovation success from Garner practices for 	<ul style="list-style-type: none"> ● Evidence of alignment in objectives and SDG goals ● Strategic plan indicators for innovation ● Organisational benchmark on engagement with government for digital transformation ● Existence of cost-efficiency metrics for innovation approaches/initiatives ● Identified areas for resource optimisation ● Proportion of portfolios that achieved measurable outcomes ● Data on strengthened innovation ecosystem in UNICEF including local solutions, engagement of local partners, donors and governments, open-source solutions, and mobilised policies and financing (see definition below) ● Clarity of processes for resource allocation including selection, transitioning to new stages, pausing, ending or handing-over an innovation ● Use of evidence in decision-making for these processes ● Existence of mechanisms for assessing alignment, outcomes and contributions, and sustainability ● Existence and use of mechanisms for long-term funding and scaling ● Stakeholder support for continued implementation of innovations
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		Effective Portfolio Management and OECD-DAC self-assessment	
Objective 3: Relevance, efficiency, effectiveness, impact and sustainability of innovation initiatives to accelerate positive outcomes for children			
<p>3.1. To what extent did innovations implemented through the regional portfolios contribute to programme effectiveness and accelerate positive outcomes for children?</p> <p>3.2. To what extent did they address considerations of equity, gender, and disability inclusion in achieving child rights?</p> <p>3.3. What specific outcomes were achieved for marginalised or underserved populations through these innovations?</p> <p>3.4. Is there data on the cost-effectiveness of the innovations compared to alternatives?</p> <p>3.5. How are the innovations being scaled or sustained over time?</p>	<p>Cross-cutting themes</p> <ul style="list-style-type: none"> • Impact • Gender • Equity • Disability inclusion • Scalability and sustainability over time <p>Regions</p> <ul style="list-style-type: none"> • All (tbc) 	<ul style="list-style-type: none"> • Case studies exploring 2+ innovations per region based on an appreciative enquiry approach (and including innovations that have failed to scale) with a thematic focus. The case studies will include the following data collection: • Case study document review on evaluations of innovations in the regional portfolios (case studies plus any other significant evaluations). Nb: we will not evaluate the impact of initiatives through the case studies but will review the mechanisms for assessing impact and the documented results of impact studies where they are available. • Data review on the cost-effectiveness of case study innovations (3.3, 3.4) • Portfolio analysis drawing on available data (3.5) 	<ul style="list-style-type: none"> • Mechanisms for assessing impact • Existence of outcomes data, evaluations, or impact studies etc • Documented outcomes and impacts from innovation initiatives • Inclusion metrics for vulnerable groups • Evidence of equity-focused outcomes in innovation projects • Evidence of inclusion of marginalised groups in design and implementation of innovations • Existence of comparative cost-benefit data • Existence of efficiency metrics for innovations versus alternatives • Existence of mechanisms for assessing relevance, inclusion, and sustainability • Documented approaches for developing and implementing innovations • Mechanisms supporting ongoing scalability and adoption • Successful pilots scaled to other COs/ROs • Successful pilots integrated into local systems • Existence of mentorship to support scaling

		<ul style="list-style-type: none"> • Global KIIs with gender and disability inclusion experts (3.2) • Case study KIIs with management and innovation implementers • Analysis of findings against ToC assumptions on scaling innovation initiatives (3.5) • Case study KIIs with external partners • Case study findings will be reviewed against UNICEF Innovation maturity lifecycle benchmarks and the 5D framework. For digital innovations, the findings will draw upon the Principles for Digital Development. The Evaluation Team (ET) will also consider how effectively new solutions are tested and refined through iterative cycles (Lean impact). 	
<p>Objective 4: Enabling and hindering factors</p>			
<p>4.1. What factors have enabled (or hindered) the successful implementation of innovation, scaling and replication of innovation within UNICEF?</p>	<p>Ool domains of change</p> <ul style="list-style-type: none"> • Scaling/Accelerating Innovative Initiatives • Innovation ecosystem 	<ul style="list-style-type: none"> • Synthesis of case study findings • Global KIIs with Ool, PIC, and T4D, PG, EMOPS and DAPM (4.2, 4.3) 	<ul style="list-style-type: none"> • Proportion of innovations successfully scaled

<p>4.2. What new knowledge and insights have been generated through UNICEF innovation initiatives, and how have these contributed to thought leadership and influence within innovation ecosystems?</p> <p>4.3. In what ways has UNICEF approach to innovation disrupted traditional sector practices, and what impact has this had on the broader field of child rights and development?</p>	<ul style="list-style-type: none"> ● Learning and insight/thought leadership ● Culture and capacity 	<ul style="list-style-type: none"> ● Analysis of findings against the main domains of change in the ToC to identify which were important factors in enabling or hindering innovation ● Enabling factors and barriers to innovation will be reviewed against common factors influencing innovation success in the OECD Oslo Manual. 	<ul style="list-style-type: none"> ● Perceptions of common enabling factors and barriers (aligned with OECD Oslo Manual), including: <ul style="list-style-type: none"> ● Incentives for innovations ● Leadership behaviours ● Donor relationships and funding climate ● Political environment for innovation ● Internal regulations on programme management and procurement ● Pathways for scaling between UNICEF and other organisations ● Mechanisms for learning within UNICEF and with other comparative organisations ● Evidence of published insights and best practices ● Contributions to global innovation ecosystems and thought leadership ● Examples of sector disruption due to UNICEF innovations ● Documented influence on child rights and development frameworks
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○ 2.1 Glossary

This glossary draws on the definitions and terminology used by the Ool and PIC and will provide a starting point for the evaluation.

5D Innovation Framework

The 5Ds (dimensions) used to assess innovations within the Ool portfolios are: Innovation, Business Model, Risk, Impact and Scalability.

Adoption

The process through which innovation initiatives are accepted, integrated, and utilised within UNICEF contexts, ensuring alignment with organisational and programmatic goals in COs.

Digital transformation

The widespread adoption and institutionalisation of existing or proven digital approaches to improve operational effectiveness, service delivery, and overall organizational performance.

Emerging tech innovations

Novel, and often experimental tools and innovations, such as artificial intelligence (AI), blockchain, quantum computing, drones, and Internet of Things (IoT).

Frugal innovations

Simple products or services that are dramatically lower in cost, outperform alternatives and can be scaled up through adoption by people who do not need special expertise or equipment.

Global Innovation Board (GIB)

GIB provides the vision, leadership, and strategic direction of innovation in UNICEF. Its mandate includes setting priorities for innovation, making investment decisions, and aligning senior management within and with external partners, ensuring all efforts are aligned with organizational goals.

Inclusive Solutions

Innovations that prioritize equity, gender, and disability inclusion, ensuring that marginalised and underserved populations benefit equally from outcomes.

Innovation

A new or significantly improved solution that contributes to progress for children and accelerates results for children or young people. It is about doing new things to solve problems and improve the lives of children around the world. It is about matching today's challenges with tomorrow's solutions. Innovations can be incremental, substantial or breakthrough.

Innovation Ecosystem

A network of stakeholders, systems, processes, and infrastructure that collectively enable the development, scaling, and sustainability of innovative solutions to address specific challenges.

Knowledge and Learning Sharing

Mechanisms for generating, documenting, and disseminating evidence, lessons learned, and best practices to foster organisational and external stakeholder improvement.

Level of innovation

Incremental, Substantial, Breakthrough

Open-Source Tools

Technological or methodological solutions that are freely available, modifiable, and distributable, designed to enhance accessibility and scalability.

Portfolios

There are nine innovation portfolios: climate change, gender equality, humanitarian, health and nutrition, mental health and psychosocial wellbeing, youth, WASH and learning. The final two are delivered through established Hubs.

Replication

The process of adapting and duplicating successful innovation initiatives in new settings or contexts, leveraging lessons learned to achieve similar positive outcomes.

Risk

Risk will be considered in terms of personnel, reputational risk, financial risk, and data privacy, and the magnitude of impact of the project for children based on the total global need for the solution.

Scale

The innovation is expanded and integrated to reach and impact large populations at regional or global scale, supported by evidence of effectiveness and adaptability to diverse contexts. UNICEF indicators for innovation consider scale to be 1M+ reached in >10 countries.

Stage of innovation

Ideation, Pilot, Acceleration, Transition to Scale, Scale

Strategic Partnerships

Collaborative engagements with public, private, and local actors to amplify resource mobilisation, foster innovation, and align with UNICEF's strategic priorities.

Sustained Outcomes

Long-term benefits and impacts of innovation initiatives that continue beyond the initial implementation phase, supported by mechanisms for ongoing support and adaptation.

Tolerance for Risk-Taking

An organisational culture characteristic that encourages experimentation and recognizes failure as a critical component of learning and innovation.

Transition to scale

The innovation is replicated across large geographies (normally >10 countries) and populations for transformational impact

Type of innovation

Data, Digital, Innovative Finance, Product, Social

○ 2.3 Important elements within key terms in the matrix

When assessing the **sustainability of innovation initiatives**, the evaluation includes the following elements:

- Adoption
- Implementation at scale
- Replication
- Sustained outcomes

When assessing **organisational culture for innovation**, the evaluation will include the following elements:

- Tolerance for risk-taking for innovation
- Failure is welcomed and recognised as a learning opportunity
- Staff are supported to adapt to changing environments and needs
- New ways of thinking are actively encouraged
- Staff are given sufficient time and space to explore new ideas
- Senior staff champion innovation initiatives and support their adoption
- Staff have access to resources and training to build competencies in innovation and embracing change

On **partnerships**, the evaluation will consider these elements of the strategic plan:

- Amplify resource mobilisation
- A well-functioning, joined-up United Nations system
- Leveraging the private sector
- Working with local actors

On a **stronger innovation ecosystem** in UNICEF, the evaluation will consider the following elements:

- Solutions that are locally relevant, developed and scaled to meet the specific needs of children
- Supportive structures, including capacity building, infrastructure and systems that foster long-term innovation
- Adoption and promotion of open-source tools and platforms to ensure accessibility and scalability
- Buy-in and visibility of solutions
- Government support for innovation in the form of enabling policies, regulation, legislation and finance
- Strategies that ensure innovations are sustainable and create lasting impact.
- Mechanisms for evidence generation and for sharing knowledge, learning, data and best practices across stakeholders
- Diverse, equitable and representative markets for innovation
- Voices, perspectives and solutions of those who are not usually heard, including children and young people.

○ 2.4 Rubrics for case study analysis (EQ3)

The evaluation will test and update the following two rubrics in the case study analysis in consultation with the OoI and other key stakeholders.

The innovation outcomes rubric is based on Active Learning Network for Accountability and Performance in humanitarian action (ALNAP's) work on evaluating humanitarian innovation which identifies three measures of success for innovation:

- **Consolidated learning and evidence:** New knowledge generated, or the evidence base enhanced around the area the innovation is intended to address, or around the performance of the innovation itself.

- **An improved solution for children:** The innovation offers a measurable, comparative improvement in effectiveness, quality or efficiency over current approaches to the problem addressed by the innovation and/or
- **Wide adoption of an improved solution:** The innovation is taken to scale and used by others to improve humanitarian performance.

SUCSESSES :	CONSOLIDATED LEARNING AND EVIDENCE	IMPROVED SOLUTION	WIDE ADOPTION OF IMPROVED SOLUTION
VERY HIGH	Comprehensive new knowledge generated; substantial enhancement of the evidence base, with findings widely disseminated and recognised as transformative.	Robust evidence of significant comparative advantage over existing solutions	Scale: The innovation solution is adopted and operates at the desired level of scale sustained by an ecosystem of actors. Regional/global scale.
HIGH	Significant new knowledge generated; strong enhancement of the evidence base with clear documentation of findings and use internally.	Robust evidence of comparative advantage over existing solutions in effectiveness, quality or efficiency	Transition to scale: The innovation solution is replicated across large geographies for transformational impact. 11+ countries
MODERATE	Some new knowledge generated; moderate contribution to the evidence base or understanding of innovation performance.	Some evidence of an improvement over current approaches, with some measurable impact on effectiveness, quality or efficiency	Acceleration: A model for ‘scale-up’ and ‘scale-out’ has been developed and there is a complete and sustainable solution that can be replicated in other contexts. 2-10 countries.
LOW	Minimal new knowledge generated; limited contribution to understanding the problem or innovation performance.	Documented objectives achieved but no evidence of comparative advantage	Pilot: The innovation solution is field tested and has gained proof of concept. 1+ countries.
VERY LOW	No evidence of learning or evidence being documented or used	No measurable improvement; performs worse or equivalently to current approaches or no known benchmarks	Ideation: The problem is defined and analysed and matched with a new or established innovation solution.

● ANNEX 3: ENGAGEMENT WITH STAKEHOLDERS

○ 3.1 Stakeholder groups

Group	Stakeholders	Engagement
Innovation Governance Structures	Global Innovation Board (GIB) Innovation Steering Committee (ISC)	<ul style="list-style-type: none"> ● The ISC will serve as the reference group for this evaluation and will be consulted and provide feedback on the inception report and all major deliverables ● A sample of the GIB will be interviewed, and the evaluation outputs will be shared with them
UNICEF staff responsible for innovation and T4D at HQ	Ool (including Hubs), ICTD, SD, PG, the Office of Emergency Programmes, Division of Analysis, Planning and Monitoring (DAPM), the Division of Global Communication and Advocacy (DGCA), the Office of Global Foresight and Research, the Division of Public Partnerships (PPD), the Division of Private Fundraising and Partnerships (PFP).	<ul style="list-style-type: none"> ● These entities have representation on the ISC ● Interviews will be held with a sample of staff in each entity ● Validation and co-creation workshops will be held with the Ool, PIC, ICTD and PG ● Findings will be shared through case studies, the full evaluation report, an evaluation brief, and a webinar
UNICEF staff responsible for innovation and T4D at regional and country offices	RO T4Ds, CO T4D staff, CO staff developing innovation strategies, Thematic teams involved in portfolio governance, and those working on specific innovations	<ul style="list-style-type: none"> ● Focal points from ROs will provide written feedback on the inception report ● Regional level advisory boards will provide feedback on the case study design and outputs ● Interviews will be held with a sample of staff from ROs and COs¹ ● Findings will be shared through case studies, the full evaluation report, an evaluation brief, and webinar
UNICEF management	At the global, regional, and country levels, the UNICEF Executive Board and National Committees	<ul style="list-style-type: none"> ● Interviews will be held with a sample of management at all levels

¹ At least 20 COs will be consulted within the 'global' data collection and COs will be involved in selecting innovations for consideration in the case studies. The seven case studies will focus on innovations from 1-2 COs each. A sampling strategy has been developed and the identification of COs will be carried out through consultation with the Office of Innovation, the Evaluation Office, and other key stakeholders (e.g., the Product Innovation Center). The selection will be focused on finding a balance among COs that are more or less engaged in promoting innovation.

		<ul style="list-style-type: none"> ● The executive summary, case studies and evaluation report will be published and distributed to UNICEF management
External stakeholders	Innovation staff in other UN entities, partner organizations outside the UN, including funders, strategic partners and implementing partners, and governments	<ul style="list-style-type: none"> ● Interviews will be held with a sample of external stakeholders ● Findings will be shared through a 4-page evaluation brief and webinar ● External stakeholders that are part of the external Advisory Group will participate in two workshops presenting summary findings and recommendations from the evaluation report
Young people and other innovation users	Young people and other innovation users involved in co-creation or use of innovations.	<ul style="list-style-type: none"> ● A participatory workshop with young people to rank and discuss the relevance of a sample of innovations from their perspectives. This will be a way of exploring priorities for innovation from a youth perspective. ● Where relevant, FGDs will be held with a sample of innovation users in case study locations. We will work with COs to include marginalised voices within FGDs and to understand their perspectives on issues relating to gender, equity and disability inclusion within innovation. ● The evaluation process and lessons will be reinterpreted to the extent possible for young people and innovators and communicated in a young-friendly way on the UNICEF website and social media platforms.

Nb. The priority questions differed between different audiences. Stakeholders at the global level emphasised the importance of the institutional assessment, and particularly questions 1.1-1.3 on roles and structures at different levels and 1.4-1.5 on resourcing and sustainability. For regional offices, 1.1-1.3 were significant along with the regional case study questions 3.1-3.4.

○ 3.2 Reference groups for the evaluation NEW

Group	Role
External advisory group (AG)	The external advisory group is composed of specialists in innovation from the UN, private sector, and academia. They will provide feedback on the inception report and all major deliverables.
Innovation steering committee (ISC)	The ISC will serve as the reference group for this evaluation and will be consulted and provide feedback on the inception report and all major deliverables.

Youth advisory group	This group will be consulted through a participatory workshop to rank and discuss the relevance of a sample of innovations from their perspectives. This will be a way of exploring priorities for innovation from a youth perspective.
Regional advisory groups	Regional-level advisory boards will provide feedback on the case study design and outputs.

● ANNEX 4: DATA COLLECTION INSTRUMENTS

4.1. Document review

The document review uses a systematic approach to analyse key documents and literature, encompassing four elements: background document review, systematic review, literature and evaluation review, and comparative analysis. The extraction fields for analysis for each element are tabulated below:

Element	Purpose	Extraction and analysis fields
Background document review (c.60 documents)	To understand the organisational context, historical understanding, strategic objectives, and operational frameworks in UNICEF	The extraction tool examines the following fields: <ol style="list-style-type: none"> 1. Organisational context 2. Institutional capacities 3. Governance 4. Processes 5. Resources 6. Partnerships 7. Organisational culture
Systematic review (c.110 documents)	To assess the progress made in innovation initiatives since the last evaluation and readiness assessment	The systematic review will be structured for analysis against the key recommendations from the last evaluation and the institutional assessment, including the following areas: <ol style="list-style-type: none"> 1. Risk-taking as a necessary component of innovation 2. How different parts of the organisation contribute to innovation 3. Transparency of governance and decision-making roles 4. More standardised approaches and processes 5. Clarity on medium- and long-term staff requirements 6. Attention to and investment in learning and uptake 7. Structural changes to advance innovation as a means of achieving results for children 8. Balance between central and local structures 9. Deputy Executive Director role to oversee the agenda 10. Innovation Enabling Services teams created 11. Leadership of digital innovation housed under ICTD 12. Dedicated innovation staff in COs/ROs 13. Portfolio management approach

		The analysis will be segregated by approach (ex. GIGA, node, etc), type of innovation, location and strategic priority area as feasible.
Literature and evaluation review (c.30 documents)	To review good practices and lessons learned from external public or private sector innovation approaches	The extraction tool examines the following fields: <ol style="list-style-type: none"> 1. Strategic alignment 2. Approaches 3. Relevance and coherence 4. Scaling 5. Sustainability 6. Organisational Culture and Capacity 7. Partnerships
Comparative analysis (c.20 documents)	To compare innovation programs/initiatives with 3-4 other public UN or private sector organisations to review efforts against other industry practices	The extraction tool examines the following fields: <ol style="list-style-type: none"> 1. Institutional context, structures, values and processes 2. Innovation approach 3. Relevance, effectiveness, impact and sustainability. 4. Organisational Culture and Capacity 5. Partnerships

o 4.2 Survey

The survey tool below is the finalised version, translated to French and Spanish and distributed on 18 December 2024.

#	Question	Type	Response options		
	<p>Introductory text:</p> <p>The UNICEF Evaluation Office is conducting an Evaluation of Innovation in UNICEF, in partnership with the KonTerra Group. The evaluation findings and recommendations will directly inform the planning of the next phase of UNICEF's approach to innovation and the new Strategic Plan.</p> <p>This survey is conducted as part of the evaluation to better understand the institutional context of innovation at UNICEF and the relevance, coherence and sustainability of UNICEF's innovation processes and systems.</p> <p>The survey should take approximately 15 minutes to complete. The survey has been distributed to management, programmatic and innovation staff at HQ, Regional and Country Offices. Please respond based on your personal experiences and views.</p> <p>The survey is anonymous and participation is optional. Please make sure to be in a private space when completing it to ensure confidentiality. The survey is administered by an external vendor, guaranteeing anonymity.</p> <p>Data will be kept confidential and will not be stored any longer than required for the assessment. Quotes and specific findings may be highlighted in the final report - however, they will be anonymized and presented in a manner that ensures they cannot be traced back to any individual.</p> <p>We greatly appreciate your time and effort in providing your input.</p> <p>If you are happy to proceed, please press Start.</p>				

Notes:

Innovation is defined by UNICEF as: “a new or significantly improved solution that contributes to progress for children and accelerates results for children or young people. It is about doing new things to solve problems and improve the lives of children around the world. It is about matching today’s challenges with tomorrow’s solutions.”

Using Typeform: This survey can be completed on a mobile phone. However, for the best experience, we recommend using a computer screen. Use the arrows in the bottom right-hand corner to navigate to previous questions if needed.

Introduction: Background

1	Which category does your post correspond to?	Single choice	<ul style="list-style-type: none"> ● P1 ● P2 ● P3 ● P4 ● P5 ● P6 ● D1 ● D2 ● G2 ● G3 ● G4 ● G5 ● G6 ● G7 ● NO1 ● NO2 ● NO3 ● NO4 ● NO5 ● Other (please describe)
2	Which functional area best describes your role?	Single choice	<ul style="list-style-type: none"> ● Adolescent Development ● Child Protection ● Disability ● Early Childhood Development ● Education ● Emergency ● Fundraising ● Gender Development ● Health and/or Nutrition ● HIV/AIDS ● Information Communication Technology / Technology for Development ● Innovation ● Leadership (e.g., Director, Representative, Deputy)

			<p>Director or Representative)</p> <ul style="list-style-type: none"> ● Legal ● Knowledge Management ● Operations ● Partnerships ● Programme Management ● Research, Planning, Monitoring and Evaluation ● Social and Behavioral Change ● Social Policy ● Supply ● WASH ● Other (please describe)
3	What UNICEF organizational level do you work at?	Single choice	<ul style="list-style-type: none"> ● Headquarters ● Regional Office ● Country Office ● Field Office ● Other (please describe)
4	[HQ] In which Office or Division do you work?		<ul style="list-style-type: none"> ● Data, Analytics, Planning & Monitoring ● Finance & Administrative Management ● People and Culture ● Evaluation ● Executive Director's Office ● Global Shared Service Center ● Global Communication & Advocacy ● Information & Communication Technology ● Research and Foresight ● Emergency Programmes ● Innovation ● Programme Group ● Public Partnerships ● Private Fundraising and Partnerships ● Supply ● Other (please describe)
5	[RO/CO] In which region do you work?	Single choice	<ul style="list-style-type: none"> ● East Asia and the Pacific Region (EAPR) ● Eastern and Southern Africa Region (ESAR) ● Europe and Central Asia Region (ECAR)

			<ul style="list-style-type: none"> ● Latin America and the Caribbean Region (LACR) ● Middle East and North Africa Region (MENAR) ● South Asia Region (SAR) ● West and Central Africa Region (WCAR)
6a	[CO/Other > EAPR] In which country in EAPR do you work?This question is required.		<ul style="list-style-type: none"> ● Cambodia ● China ● Democratic People's Republic of Korea ● Indonesia ● Lao People's Democratic Republic ● Malaysia ● Mongolia ● Myanmar ● Pacific Islands (Fiji) ● Papua New Guinea ● Philippines ● Thailand ● Timor-Leste ● Vietnam
6b	[CO/Other > ESAR] In which country in ESAR do you work?This question is required.		<ul style="list-style-type: none"> ● Angola ● Botswana ● Burundi ● Comoros ● Eritrea ● Eswatini ● Ethiopia ● Kenya ● Lesotho ● Madagascar ● Malawi ● Mozambique ● Namibia ● Rwanda ● Somalia ● South Africa ● South Sudan ● Tanzania ● Uganda ● Zambia ● Zimbabwe
6c	[CO/Other > ECAR] In which country in ECAR do you work?This question is required.		<ul style="list-style-type: none"> ● Albania ● Armenia ● Azerbaijan

			<ul style="list-style-type: none"> ● Belarus ● Bosnia and Herzegovina ● Bulgaria ● Croatia ● Georgia ● Greece ● Kazakhstan ● Kosovo ● Kyrgyzstan ● Moldova ● Montenegro ● North Macedonia ● Romania ● Serbia ● Tajikistan ● Türkiye ● Turkmenistan ● Ukraine ● Uzbekistan
6d	[CO/Other > LACR] In which country in LACR do you work?This question is required.		<ul style="list-style-type: none"> ● Argentina ● Belize ● Bolivia ● Brazil ● Chile ● Colombia ● Costa Rica ● Cuba ● Dominican Republic ● Eastern Caribbean (Barbados) ● Ecuador ● El Salvador ● Guatemala ● Guyana and Suriname ● Haiti ● Honduras ● Jamaica ● Mexico ● Nicaragua ● Panama ● Paraguay ● Peru ● Uruguay ● Venezuela
6e	[CO/Other > MENAR] In which country in MENAR do you work?This question is required.		<ul style="list-style-type: none"> ● Algeria ● Djibouti ● Egypt ● Gulf Area ● Iran

			<ul style="list-style-type: none"> ● Iraq ● Jordan ● Lebanon ● Libya ● Morocco ● Oman ● Palestine ● Sudan ● Syrian Arab Republic ● Tunisia ● Yemen
6f	[CO/Other > SAR] In which country in SAR do you work?This question is required.		<ul style="list-style-type: none"> ● Afghanistan ● Bangladesh ● Bhutan ● India ● Maldives ● Nepal ● Pakistan ● Sri Lanka
6g	[CO/Other > WCAR] In which country in WCAR do you work?This question is required.		<ul style="list-style-type: none"> ● Benin ● Burkina Faso ● Cameroon ● Cabo Verde ● Central African Republic ● Chad ● Congo ● Côte d'Ivoire ● Democratic Republic of Congo ● Equatorial Guinea ● Gabon ● Gambia ● Ghana ● Guinea ● Guinea-Bissau ● Liberia ● Mali ● Mauritania ● Niger ● Nigeria ● São Tomé and Príncipe ● Senegal ● Sierra Leone ● Togo
7	How many years have you been working for UNICEF?	Single choice	<ul style="list-style-type: none"> ● Less than 1 year ● 1 to 3 years ● 4 to 6 years

- 7 to 9 years
- 10 years or more

Section 1: Relevance and coherence

8	<p>Governance, systems and processes</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • I am aware of UNICEF's governance structures for supporting innovation • There is a clear strategic vision and goals for innovation at UNICEF • UNICEF's innovation strategy is well aligned with its five Strategic Plan Goal Areas [Five Strategic Plan Goal Areas: Health and nutrition; Education; Child protection; WASH and climate change; and Social protection] • There is a clear strategic vision and goals for innovation for my Office / Division • Innovation is embedded and well supported in my Office / Division • There are transparent processes in place for selecting and prioritizing innovation initiatives • There are structured review points for assessing and monitoring innovation initiatives throughout their lifecycle • Learning from innovation initiatives is well-documented • Data is used to inform decisions about the development and scale-up of innovations 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know
9	From your perspective, how well do you think the current governance structures, systems, and processes at UNICEF support innovation?	Open text	
10	<p>Roles and responsibilities</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • The ways in which different parts of UNICEF foster and contribute to innovation is clearly defined • I have a good understanding of the roles and responsibilities for innovation for my Office / Division • I have a good understanding of the delineation of roles between the Office of Innovation and other offices / divisions 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know
11	<p>Coordination</p> <p>To what extent do you agree with the following statements:</p>	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know

	<ul style="list-style-type: none"> ● Innovation efforts are well coordinated across global, regional and country offices ● There are processes in place to enable programme and innovation staff to co-lead innovation processes ● [HQ staff] <ul style="list-style-type: none"> ○ There are processes in place to enable collaboration and coordination on innovation between my Office/Division and Regional Offices ○ There are processes in place to enable collaboration and coordination on innovation between my Office/Division and Country Offices ○ There are processes in place to enable collaboration and coordination on innovation between my Office/Division and other teams in HQ ● [RO staff] <ul style="list-style-type: none"> ○ There are processes in place to enable collaboration and coordination on innovation between my Office and HQ ○ There are processes in place to enable collaboration and coordination on innovation between my Office and Country Offices ○ There are processes in place to enable collaboration and coordination on innovation between my Office and other Regional Offices ● [CO staff] <ul style="list-style-type: none"> ○ There are processes in place to enable collaboration and coordination on innovation between my Office and HQ ○ There are processes in place to enable collaboration and coordination on innovation between my Office and our Regional Office ○ There are processes in place to enable collaboration and coordination on innovation between my Office and other Country Offices 		
12	<p>What are the main barriers to coordination between global, regional and country offices, if any? (Select up to 5)</p>	Multiple choice	<ul style="list-style-type: none"> ● Lack of funding ● Lack of time ● Lack of HQ innovation support ● Lack of Regional Office support ● Lack of Country Office

			<p>support</p> <ul style="list-style-type: none"> • Misaligned goals or priorities • Limited staff expertise • Unclear roles and responsibilities • Language barriers • Time zone constraints • Lack of communication channels • Poor decision-making processes • Poor knowledge management • Resistance to sharing resources across teams • I don't know • None • Other (please describe)
Section 2: Sustainability			
13	<p>Financial resource allocation</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • UNICEF commits enough funds to enable innovation efforts to be successful • Funding for new and innovative ideas and approaches is easily accessible 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know
14	<p>Human resources</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • UNICEF has the right technical knowledge and skills to support innovation at the HQ level • UNICEF has the right technical knowledge and skills to support innovation at the regional level • UNICEF has the right technical knowledge and skills to support innovation at the country level • There are clear career paths for innovators to develop within the organisation 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know
Section 3: Culture			
15	<p>Culture of innovation</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • There is a high tolerance for risk-taking for innovation in my office • Failure is welcomed and recognised as a learning opportunity • Staff in my office are supported to adapt to 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know

	<p>changing environments and needs</p> <ul style="list-style-type: none"> • New ways of thinking are actively encouraged • Staff in my office are given sufficient time and space to explore new ideas • Senior staff in my office champion innovation initiatives and support their adoption • Staff in my office have access to resources and training to build competencies in innovation 		
16	Please describe any highlight examples of initiatives that have helped engage staff in innovative practices.	Open text	
Section 4: Partnerships			
17	<p>Partnerships</p> <p>To what extent do you agree with the following statements:</p> <ul style="list-style-type: none"> • [HQ staff] <ul style="list-style-type: none"> ○ Our main donors actively acknowledge and support our innovation efforts ○ Our partnerships help make our innovation initiatives more effective and likely to succeed • [RO/CO staff] <ul style="list-style-type: none"> ○ My office partners with tech, start-up or social enterprise organisations on innovation ○ My office partners with civil society organizations and NGOs on innovation ○ My office partners with governments on innovation ○ Our partnerships help make our innovation initiatives more effective and likely to succeed 	Scale	1 (Strongly disagree) to 5 (Strongly agree) / I don't know
	Please describe any highlight examples of partnerships that have furthered innovation at UNICEF.	Open text	
Section 5: Integration and enablers of innovation			
18	<p>How well supported (resourced, encouraged and facilitated) are the following areas of innovation:</p> <ul style="list-style-type: none"> • Problem identification and/or research • Ideation and/or sourcing solutions • Piloting solutions (small-scale field testing) • Accelerating solutions (testing a replicable model) • Transition to scale (replicated/adapted across geographies and populations) • Scale (adopted and operates at scale with sustainability) 	Single choice	<ul style="list-style-type: none"> • Not at all supported • Minimally supported • Somewhat supported • Well supported • Very well supported • I don't know

19	What factors have contributed positively to successful innovation initiatives within your Office / Division? (Select up to 5)	Multiple choice	<ul style="list-style-type: none"> ● Funding allocation ● Time allocation / prioritisation ● HQ innovation support ● Regional Office support ● Country Office support ● Alignment with UNICEF strategy ● Problem identification and analysis ● Staff expertise ● Staff training and mentoring ● Cross-functional collaboration ● Collaborations with local organisations ● Partnerships with external experts ● Partnerships with government ● Clear project management processes ● Clear decision-making processes ● User engagement and feedback ● Access to evidence and knowledge ● I don't know ● None ● Other (please describe)
20	What are the main barriers to innovation at UNICEF, if any? (Select up to 5)	Multiple choice	<ul style="list-style-type: none"> ● Lack of funding ● Lack of time ● Lack of HQ innovation support ● Lack of Regional Office support ● Lack of Country Office support ● Poor alignment with UNICEF strategy ● Lack of problem identification and analysis ● Limited staff expertise ● Limited staff training and mentoring ● Limited cross-functional collaboration ● Lack of collaboration with local organisations ● Lack of partnerships with

			<ul style="list-style-type: none"> external experts ● Lack of partnerships with government ● Poor project management processes ● Poor decision-making processes ● Lack of user engagement and feedback ● Lack of evidence and knowledge ● I don't know ● None ● Other (please describe)
Wrap up and demographic questions			
21	Overall, are there any improvements or changes needed at an institutional level to better support and embed innovation in your Office, Division or region? Please describe.	Open text	
-	Thank you. Before completing the survey, we have a few final questions to better understand who you are and your experience with innovation at UNICEF.	Note	
22	How would you describe your gender?	Single choice	<ul style="list-style-type: none"> ● Woman ● Man ● Non-binary ● Prefer not to say ● Other (please describe)
23	Do you consider yourself to have a disability, long-term health condition, or impairment that affects your daily life?	Single choice	<ul style="list-style-type: none"> ● Yes ● No ● Prefer not to say
24	Are you a member of any innovation governance groups?	Multiple choice	<ul style="list-style-type: none"> ● No ● Global Innovation Board ● Innovation Steering Committee ● Regional innovation/Digital Transformation and Innovation (DXI) governance ● Country innovation/Digital Transformation and Innovation (DXI) governance ● Other (please describe)
25	Are you actively involved in the management or implementation of any innovation approaches or	Multiple choice	<ul style="list-style-type: none"> ● No ● Regional innovation initiative

	initiatives?		<ul style="list-style-type: none"> ● Country-based innovation initiative ● Venture Fund ● Global Innovation Portfolios ● Innovative Financing Hub ● Learning Innovation Hub ● WASH Innovation Hub ● GIGA ● Innovation Nodes ● Product Innovation Centre ● SPARK ● COMPASS ● Other (please describe)
26	Thank you for your time and valuable insights. Is there anything else you would like to tell us as part of this evaluation?	Open text	

o 4.3 Portfolio Analysis Tool

Innovation initiatives:

Category	Codes
Initiative information	
Project title	
Start date	
Exit date	
Team / Office	Ventures, Product Centre, WASH Hub, Finance Hub, Learning Hub, GIGA, RO-led, CO-led
Thematic portfolio	Climate change, Gender equality, Humanitarian, Learning, Health and nutrition, Mental health and wellbeing, Youth, WASH
Strategic Goal area	Health and nutrition, Education, Child protection, WASH and climate action, Social protection and poverty reduction
Regional Offices	EAPR, ESAR, ECAR, LACR, MENAR, SAR, WACR
Country / Countries	
Level of innovation	Incremental, Substantial, Breakthrough
Type of innovation	Data, Digital, Financial, Product, Social
Stage of innovation	Ideation, Pilot, Acceleration, Transition to Scale, Scale
Problem area	
'Possibility' area	<i>[If Ventures]</i>
Target beneficiaries	
Business model	<i>[TBC - Internal funding, Donor funding, Revenue generation, Partnership]</i>
Inputs	
Total investment	USD
Non-financial support	<i>[TBC, if available - e.g. training, partnership-building, knowledge sharing]</i>
Results	

Status	In development, Active (after exit), Discontinued
Readiness to scale score	<i>[TBC - Scoring based on 5D Innovation Framework, if available]</i>
Reach - Total	
Reach - Children	
Reach - Women	
Reach - Men	
Reach - People with Disabilities	
Evidence of impact	<p>1 - Coherent description of the problem, solution and expected outcomes.</p> <p>2 - Data shows positive change, but causality cannot be confirmed.</p> <p>3 - Demonstrated causality between your project or product and a positive impact.</p> <p>4 - Confirmed by independent replication evaluation.</p> <p>5 - Product or technology meets a nationally or internationally recognized standard.</p>
Pathway	<i>[TBC - e.g. Contributed to institutional learning; Received further funding; Replicated in another Office/Region; Integrated into Office BAU; Adopted by external stakeholders]</i>
Documentation of impact	Evaluation reports / case studies where available (EISI log, web search)
Documentation of learning	Evaluation reports / case studies where available (EISI log, web search)
Demographic data	
Lead - Office	
Lead - Job title	
Lead - Gender	
Team - No. of women	
Team - No. of men	

Research projects (Nodes):

Category	Codes
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Project information	
Research title	
Start date	
Exit date	
Team / Office	Nodes
Thematic portfolio	Climate change, Gender equality, Humanitarian, Learning, Health and nutrition, Mental health and wellbeing, Youth, WASH
Strategic Goal area	Health and nutrition, Education, Child protection, WASH and climate action, Social protection and poverty reduction
Regional Offices (if applicable)	EAPR, ESAR, ECAR, LACR, MENAR, SAR, WACR
Country / Countries (if applicable)	
Problem area	
Inputs	
Total investment	USD
Results	
Research outputs	
Research uptake and use	
Demographic data	
Lead - Office	
Lead - Job title	
Lead - Gender	
Team - No. of women	
Team - No. of men	

o 4.4. Global Interview Tools

The guide below will be used for the Institutional Assessment (EQ1) and to gain preliminary information on the other objectives. The guides on “Approaches” (EQ2) will be drafted once that portion of the document review is complete, as guides will be tailored to each of the specific approaches (we are still receiving documents from some Divisions and offices). The KII and FGD guides for case studies will also be designed once the thematic focus for each region has been agreed.

Interview Theme: Institutional assessment

(UNICEF management at global, regional and country levels)

Background

This evaluation seeks perspectives and information on issues relating to one or more of the main evaluation questions:

- EQ1. Institutional assessment of innovation
- EQ2. Assessment of ‘Teams’/approaches to innovation
- EQ3. Innovation initiatives (through regional case studies)
- EQ4. Enabling factors and barriers

The interview themes are organised below under each of the main evaluation questions that are being addressed through this interview. The interviewer will select the themes most pertinent to the role and position of the respondent and may add a few questions specific to the respondent’s area of work. This evaluation is intended to inform the design of UNICEF’s next Strategic Plan (2026-2029) and support internal governance and efforts to strengthen the innovation ecosystem (more information here: [LINK](#)).

A consent form is available [here](#). We can also ask these questions at the start of the interview.

Themes

Introduction

- 0.1. What is your role within UNICEF?
- 0.2. In what ways do you contribute to shaping UNICEF’s innovation agenda or initiatives?
- 0.3. Does innovation bring strategic advantages to UNICEF’s ability to address complex global challenges? If so, what are they?

EQ1. Institutional assessment

- 1.1 How effective are the innovation governance structures? What are the strengths and weaknesses?
- 1.2 What roles do senior leaders play in driving and embedding innovation into programming?
- 1.3 How well do UNICEF’s innovation initiatives align with its strategic priorities, including the SDGs and the Goals outlined in the Strategic Plan (2022–2025)? To what extent are innovations relevant to and accelerating progress to achieving goals?
- 1.4 Are roles and responsibilities clear and coherent across global, regional, and country levels?
- 1.5 How effectively are the Headquarters, regional, and country offices linked and coordinated?
- 1.6 What innovation structures or processes have you engaged with? How effective were they in supporting innovation?

- 1.7 How effectively were resources (including financial, human and technical) allocated and utilised?
- 1.8 What are the barriers to sustainability and scaling? Are there mechanisms in place to support sustainability and scaling?
- 1.9 How does UNICEF leverage partnerships with governments, private sector actors, and other stakeholders to drive its innovation strategy? How well do the partnerships align with UNICEF's strategic goals?
- 1.10 To what extent does UNICEF's culture support innovation? Where is UNICEF innovative and why? Where is it not innovative and why not?

EQ2. Assessment of Teams/approaches

- 2.1 To what extent are the innovation Teams/approaches you've engaged with aligning with strategic priorities?
- 2.2 How effective has UNICEF been in leveraging its innovation capabilities for children and what more could be done?
- 2.3 How effective has UNICEF been in leveraging these capabilities to serve the particular needs of the most vulnerable, including considerations for gender, equity, and disability inclusion?

EQ3. Innovation initiatives

- 3.1. From a strategic perspective, what are the most impactful innovations UNICEF has developed or scaled? Why were they successful?
- 3.2 To what extent are the particular needs of the most vulnerable, including considerations for gender, equity, and disability inclusion, have been considered and met.

EQ4. Enabling factors and barriers

- 4.1 What are the factors that enable successful innovations at UNICEF?
- 4.2 What strategic barriers or challenges do you see as the most significant for innovation at UNICEF? How can these be addressed at the leadership or governance level?

Conclusion:

- 5.1 Is there any other information/opinion you would like to share?

● ANNEX 5: ETHICS PROTOCOLS

○ 5.1 Ethical Review Board Approval Form

This will be completed once the selection of regional case studies has been finalised and the FGD sample and tools for each group have been developed. We anticipate this will be in January 2025.

○ 5.2 Consent form for KII

A digital version of the consent form will also be shared with interviewees before the interviews:

<https://forms.office.com/r/aH8X7JGCgl>

● Introduction to KII

- The UNICEF Evaluation Office has commissioned KonTerra Group to conduct an independent, impartial and credible evaluation of innovation by examining the **relevance, effectiveness, impact and sustainability** of innovation approaches at the global, regional and country levels. The evaluation findings and recommendations will directly inform the planning of the next phase of UNICEF's approach to innovation, as well as the upcoming new Strategic Plan for 2026-2029.
- The evaluation began in October 2024 and is currently in the inception phase. The evaluation report will be finalised by September 2025.
- This interview will last approximately 45 minutes. We have developed a semi-structured interview template to guide the discussion.

● Consent statements

- Before we begin, I would like to run through some informed consent information.
- *[If the digital form has already been signed and returned the interviewer will proceed. If not, the interviewer will reiterate key points relating to the consent and data protection process.]*

Your participation is completely voluntary. You have the right not to answer any question and you can end the interview early without consequence.	
We would like to record the discussion. The recording will be securely stored and only available to the research team. It will be permanently deleted once the transcripts/notes are written and the research is completed. Are you happy with the discussion being recorded.	
Data will be kept confidential. It will be anonymised and transferred to the Evaluation Manager at the Evaluation office at the end of the evaluation. Any quotes will be presented in a way that they cannot be traced to you individually.	
For Unicef staff, participation and feedback will not be used in any performance review or impact your employment in any manner. For external stakeholders, your participation and feedback will not impact your relationship with UNICEF in any manner.	
Are you happy for the information you provide to be used in the published reports? Do you consent to your data being used this way? If you have questions about how your data is being used or would like to withdraw your participation, you are free to contact me at any time. Do you have any questions for us before we start?	
Do you have any questions about the assessment or how your information will be used before we begin, or are you happy to proceed with the interview?	

● ANNEX 6: RISKS AND LIMITATIONS

Risks and limitations	Rating	Mitigation
<p>Understanding of innovation: Different understandings of innovation and expected contributions and results over the evaluation timeframe.</p>	Moderate	<p>Innovation means different things to different people. It involves complex processes where change happens sporadically and where there may be very little visible impact for long periods of time. These characteristics make evaluating innovation difficult. The evaluation will develop clear communication materials explaining the evaluation's objectives, process and benefits and share them early with all stakeholders. The ET will deliver the evaluation by working closely with the relevant stakeholders. Findings will be triangulated based on multiple data sources and draw on key documents. Where data on performance is limited, the evaluation will augment it with survey responses, interview data and ET analysis of innovation's contributions. While the definition of innovation provided in the inception report provides a starting point for this evaluation, the ET will also analyse how it is used practically within UNICEF.</p>
<p>Stakeholders: Challenges in sustaining stakeholder engagement throughout a long evaluation process.</p>	Moderate	<p>The interim deliverables are designed to establish regular touchpoints to maintain stakeholder interest and involvement over time.</p>
<p>Desk Review: This may be limited by selection bias on relevant data sources, availability of documented information relevant to the evaluation, quality of data sources and bias towards the 'official' stance.</p>	Moderate	<p>A wide range of over 100 relevant documents have been identified and included in the evaluation plan already. Additional documents related to both case studies and the global analysis may be added through the evaluation period.</p>
<p>Literature review: There are relatively few published evaluations of innovation and relatively little academic literature on innovation management in UN agencies.</p>	Low	<p>The Team Leader is familiar with the academic literature on innovation management and will source relevant academic and grey literature where it exists. The evaluation may also draw on literature from adjacent industries to support this evaluation.</p>
<p>Comparative analysis: Analysis will be limited by the availability of public documents on the comparative organisations. The analysis will also not capture informal or undocumented practices and perspectives, limiting its ability to provide a complete picture of innovation in other organisations.</p>	Moderate	<p>The ET will conduct KIIs with comparative organisations where possible. Information in the comparative analysis will be supplemented with the findings of the literature and evaluation review.</p>

<p>Survey: There is no centralised list of everyone in UNICEF working on innovation, which may limit access to relevant participants.</p>	<p>Moderate</p>	<p>The survey will be sent to all COs and focal points asked to convene relevant individuals to respond collectively to the survey. The EO will follow up with COs in cases of non-response.</p>
<p>Portfolio analysis:</p> <ul style="list-style-type: none"> - Variability in data quality and types and thematic portfolios. - Inconsistent definitions and metrics for innovation. - Complexity in assessing long-term outcomes and sustainability of innovations within the evaluation timeframe. - Insufficient gender and equity disaggregation in existing data - Change in team members over time/availability of demographic data 	<p>High</p>	<p>The portfolio analysis framework is designed to be light-touch and flexible while allowing the ET to identify patterns across the data set. The categories will be reviewed and updated during the data collection phase.</p> <p>The portfolio data will complement qualitative data and case studies to understand progress through the innovation cycle and when and how innovations scale and achieve impact.</p>
<p>Secondary data:</p> <ul style="list-style-type: none"> - Financial data is not available across all COs and ROs and relevant spending is not always categorised as “innovation” - Innovation encompasses a broad range of activities and there are no benchmarks for cost-efficiency. 	<p>High</p>	<p>The evaluation will focus on providing a high-level overview of how financial resources have been used, complemented by qualitative data collection on decision-making around resources.</p> <p>Case studies with more comprehensive financial or cost-analysis information may be prioritised to provide insights while acknowledging broader limitations.</p>
<p>KIIs</p> <ul style="list-style-type: none"> - Over-reporting on perspectives of a small group of key informants. - Bias in stakeholder responses due to vested interests. - Stakeholders' resistance to participate due to time constraints or organisational pressures. 	<p>Moderate</p>	<p>The evaluation will include a broad range of stakeholders, ensuring representation from various levels (e.g., HQ, regional, country) and across sectors involved in innovation. The evaluation will ensure anonymity and confidentiality in responses and validate findings through triangulation. Introductions will be made by the EO, and up to three follow-up emails will be sent. If participants do not respond, the ET will identify alternatives from the same sample category.</p>
<p>Case studies:</p> <ul style="list-style-type: none"> - Difficulty in identifying impact of innovations due to a lack of data. - Insufficient gender and equity disaggregation in existing data - Limited availability of data from country offices to support comprehensive analysis. 	<p>Moderate</p>	<p>The evaluation will use contribution analysis to explore the role of specific innovations within broader program outcomes, supported by triangulation of multiple data sources.</p> <p>Existing data will be supplemented with targeted primary data collection, prioritising gender and equity considerations and disaggregation, including in-country qualitative KIIs. The evaluation will include later-stage innovations with more</p>

- Overemphasis on successful innovations, leading to missed learning opportunities from less successful initiatives.		robust data systems and triangulate with other available data sources. The evaluation will include a focus on both successful and unsuccessful innovations, using case studies to highlight lessons learned and areas for improvement.
Balancing the contribution of case studies to the global report whilst also meeting needs at RO level.	High	The ET have engaged ROs during the inception phase to begin to co-identify case study priorities that align with both regional needs and global evaluation objectives. The ET will establish clear criteria for case study selection that consider regional priorities while ensuring relevance to the global framework. The Institutional Assessment will deal with issues of governance, structures and processes. The ET will use the analysis phase to integrate region-specific findings into the global evaluation, highlighting regional contributions while ensuring coherence with overarching evaluation goals.
Ethics: Poor handling of sensitive data or falling short of research standards.	Low	All team members are trained in data protection and will follow clear protocols for consent, transparency, data anonymisation, data storage and analysis.
Relevance of findings: Political or organisational sensitivities around evaluation findings. Poor uptake of findings and recommendations or findings and recommendations deemed irrelevant.	Low	Ensure findings are framed constructively, emphasising lessons learned and actionable recommendations to minimise defensiveness and encourage buy-in. Regular feedback on emerging findings will be shared through the interim deliverables. The ET will hold a series of workshops to validate findings and co-develop recommendations.
Recommendations: Difficulty in aligning diverse stakeholder priorities for recommendations.	Moderate	The ET will co-create recommendations through participatory multi-stakeholder workshops to ensure they reflect shared priorities and address concerns from multiple perspectives.
Timeline: Unable to meet evaluation deadlines.	Low	To mitigate potential project delays, the ET will promptly share any anticipated changes to the project timeline in the weekly written update email and the weekly catch-up meeting with the EO, along with suggested mitigation measures. The ET can adjust the roles of different team members to speed up the data collection and analysis process in difficult areas, as needed.
Travel: pandemic, insecurity, or incident may prevent or delay team travel to case study sites.	Low	KonTerra has a travel and risk assessment process before team members travel for project activities. In case of heightened risk or inability to travel, the team will change and adapt the evaluation methods to be conducted remotely, wherever possible. The team has extensive experience conducting similar evaluations remotely and adapting methods and tools for remote data collection. Postponing or rescheduling of particular visits can also be discussed jointly with the EO team.

● ANNEX 7: INCEPTION REPORT BIBLIOGRAPHY

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- UNICEF Office of Innovation (2023). Impact brief (2023)
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- UNICEF (2012). Innovation labs: A Do-It-Yourself Guide
- UNICEF (2024). CIO's ICTD Cross-cutting priority focusing areas

● ANNEX 8: INCEPTION INTERVIEW LIST

Role	Office	Institution	Region
Director	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Chief	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Senior Adviser	Office of Innovation	UNICEF	HQ
Senior Adviser Innovation	Office of Innovation	UNICEF	HQ
Senior Adviser	Office of Innovation	UNICEF	HQ
Senior Adviser	Office of Innovation	UNICEF	HQ
Innovation Manager	Office of Innovation	UNICEF	HQ
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Innovation Manager	Office of Innovation	UNICEF	HQ
Innovation Manager	Office of Innovation	UNICEF	HQ
Innovation Manager	Office of Innovation	UNICEF	HQ
Innovation Specialist	Office of Innovation	UNICEF	HQ
Innovation Specialist	Office of Innovation	UNICEF	HQ
Innovation Specialist	Office of Innovation	UNICEF	HQ
Innovation Specialist	Office of Innovation	UNICEF	HQ
Innovation Officer	Office of Innovation	UNICEF	HQ
Deputy Executive Director (Programmes)	Office of the Executive Director	UNICEF	HQ

Deputy Director	Digital innovation: Information and Communication Technology Division (ICTD)	UNICEF	HQ
Chief, Product Innovation Centre	Product innovation: Supply Division	UNICEF	HQ
Regional Advisor, Evaluation	Regional Office (ECARO)	UNICEF	ECAR
Representative	Afghanistan (CO)	UNICEF	SAR
Senior Innovation Advisor and Lead – Portfolios, Culture and Scale (PCS)	Office of Innovation (Chair)	UNICEF	HQ
Portfolio and Governance Lead, PCS	OOI Portfolio Lead	UNICEF	HQ
Director	Supply Division	UNICEF	HQ
Regional Chief of Info Comm Technology	EAPRO	UNICEF	EAPR
Regional Chief of Info Comm Technology	ESARO	UNICEF	ESAR
Regional Chief of Info Comm Technology	ECARO	UNICEF	ECAR
Regional Chief of Info Comm Technology	LACRO	UNICEF	LACR
Regional Chief of Info Comm Technology	MENARO	UNICEF	MENAR
Regional Chief of Info Comm Technology	WCARO	UNICEF	WCAR
Regional Chief of Info Comm Technology	ROSA	UNICEF	SAR
Deputy Director Operations	Supply Division	UNICEF	HQ
Deputy Director	Supply Division	UNICEF	HQ
Innovation Manager	Supply Division	UNICEF	HQ
Innovation Manager	Supply Division	UNICEF	HQ
Innovation Manager	Supply Division	UNICEF	HQ
Innovation Specialist	Supply Division	UNICEF	HQ
Innovation Specialist	Supply Division	UNICEF	HQ
Innovation Specialist	Supply Division	UNICEF	HQ
Innovation Specialist	Supply Division	UNICEF	HQ
Innovation Specialist	Malawi CO	UNICEF	ESAR
Regional evaluation officer	MENARO	UNICEF	MENAR
Regional evaluation officer	ESARO	UNICEF	ECAR
Regional evaluation officer	ROSA	UNICEF	SAR
Regional evaluation officer	EAPRO	UNICEF	EAPR

● ANNEX 9: WORKING DRAFT OUTLINE OF CASE STUDY

1. Executive Summary (2 pages, final draft only)

- Brief overview of the thematic focus and regional scope.
- Overview of the 2-3 innovations included in this study.
- Summary of the key findings:
 - Contributions of innovations to programme effectiveness and positive outcomes for children.
 - Achievements in equity, gender, and disability inclusion.
 - Scalability and sustainability insights.

2. Introduction (1-2 page)

- **Context and thematic focus**
- **Case study objectives**
- **Scope**
 - Regional focus.
 - Thematic alignment with cross-cutting themes (impact, gender, equity, disability inclusion)

3. Methodology (1 page)

- Summary of methods
- Analytical approach and benchmarks
- Limitations

4. Summary of innovations (2-3 pages)

- For each innovation:
 - Objectives and target groups.
 - Rationale for the innovation and alignment with child rights.
 - Development, design, and stakeholder involvement.
 - Mechanisms for inclusion of marginalised and underserved populations.
 - Documented results and impact for children, with a focus on marginalized populations.
 - Metrics for gender, equity, and disability inclusion.

5. Relevance, efficiency, effectiveness, impact and sustainability of innovation initiatives to accelerate positive outcomes for children (6 pages)

- Strategic alignment, outcomes and impact
 - Alignment with UNICEF strategies
 - Contribution to programme goals
 - Documented outcomes for children.
- Equity, gender and disability inclusion
 - Inclusion of marginalized groups in design and implementation.
 - Equity-focused outcomes achieved.
 - Metrics and documented evidence for inclusion.
 - Perspectives of children and young people
- Innovation accounting

- Cost-benefit analysis of innovations versus alternatives
 - Efficiency metrics and resource optimisation
- Adoption, replication and scalability
 - Adoption over time and integration into broader programmes.
 - Mechanisms for replicating, scaling and sustaining the innovations.

6. Lessons learned from the innovation initiatives (2 pages)

- Key takeaways for designing, implementing, and scaling innovations that improve outcomes for children
- Barriers and enabling factors for these initiative

7. Annexes

- References
- Data sources and tools

● ANNEX 10: LIST OF DOCUMENTS FOR SYSTEMATIC REVIEW

Below is a list of documents for inclusion in the systematic review. Additional documents will be sought from PIC and ICTD. Full citations will be provided in the Institutional Assessment.

Eval.Innovation - Desk Review - Aug.2024.xlsx

2021-25-Strategic_Plan_2022-2025-EN-ODS.pdf

GIGA Annual Report 2022.pdf

GIGA Annual Report 2022.pdf

GIGA Annual Report 2023.pdf

Global Innovation Centre_Annual Report_2017.pdf

Office-of-Innovation-2022-COAR.pdf

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UNICEF Venture Fund Annual Report 2023-2024.pdf

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Supply-Annual-Report-2021.pdf

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Supply-Annual-Report-2023.pdf

Office of Innovation [intranet page].url

OOI, Structure and contacts [intranet page].url

UNICEF Global Innovation Strategy and Framework 2.0.pdf

H6.1 multi-country innovation.docx

H6.2 investment threshold.docx

SP KPI H6.1 multi-country innovation_revised_Jan'24.docx

SP KPI H6.2 Innovation investment threshold_revised_Jan'24.docx

OoI OMP 2018-2021.pdf (Office Management Plan)

OOI OMP 2022-2025 Annexes.pdf (Office Management Plan)

OOI OMP 2022-2025.pdf (Office Management Plan)

OoI 2022 priorities.pdf

Office of Innovation 2023 AMP in full FNL.pdf (Annual Management Plan)

OOI 2024 AMP.pdf (Annual Management Plan)

Final OOI ToC (Retrospective).pdf

Giga Theory of Change March 2024.pptx

Learning Hub_Theory of Change.pdf

TOC Nodes Final.pdf

UNICEF VF Impact Framework - Final - 20221214.pptx

202408 PA_HOW (1).pdf

202408 PA_WHAT (1).pdf

Portfolio Approach (ICON).pdf

Portfolio Approach (SharePoint).pdf

5D Innovation Framework (SharePoint).pdf
UNICEF 5D Innovation Framework_Master Deck.pdf
Global Innovation Board (SharePoint).pdf

Global Innovation Board Meeting_Slide deck_17 November 2023.pdf
Global Innovation Board_terms of reference_October 2023.pdf
Innovation Steering Committee 2024 TOR - Mar 2024.pdf
Innovation Labs_A Do-It-Yourself Guide_UNICEF 2012.pdf
Nodes (SharePoint).pdf

Scaling Innovation - Guide (SharePoint).pdf
UN Quintet of Change_COMPASS brief.pdf
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Guidance_Innovation PIDB Coding_May 2024.pdf
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GIGA (Website).pdf

INVENT (SharePoint).pdf

OOI Dashboard (PowerBI).pdf
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230602_UNICEF_Innovation Landscape Report_Data_Vax and MCH_FINAL.pptx
Main Report - UNICEF MHPSS Innov Lanscape - Final 230712 .pdf
REPORT_UNICEF Landscape Assessment - Global WASH Innovations - Mapping of Solutions and Gaps.pdf
Final Report.pdf

Landscape Assessment of youth innovation - Final Report.pptx
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Venture Fund Master Dashboard (Power BI).pdf
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UNICEF Office of Innovation Management Plan (2022-2025)
Annual Management Plan _Office of Innovation 2022
Annual Management Plan _Office of Innovation 202
Annual Management Plan _Office of Innovation 2024
WASH Hub ToC (MIRO)
Innovation approach (sharepoint)
Portfolio approach (ICON Story)
Innovation Resource Channel (Sharepoint)
COMPASS (Sharepoint)
Innovation PIDB guidance
COAR analysis (innovation mention) powerbi

[DPG registry \(external\) Digital Public Good](#)

[Giga map \(external\)](#)

[OOI Annual Report 2022](#)

[OOI Annual Report 2023](#)

[OOI - Key results Q2 2024](#)

[Venture Fund - Internal Audit](#)

[Ventures Overview dashboard](#)

[Ventures AR 2024 numbers dashboard](#)

[OOI Impact Brief 2022](#)

[OOI Impact Brief 2023](#)

[OOI Impact Brief 2024](#)