

# EVALUATION REPORT

August 2014

## Formative Evaluation of UNICEF's Monitoring Results for Equity System (MoRES)

MoRES ■ ■ From evidence to equity?  
**ANNEXES** ■

**Formative Evaluation of UNICEF's Monitoring Results  
for Equity System (MoRES)  
MoRES: FROM EVIDENCE TO EQUITY?**

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MoRES ■ ■ From evidence to equity?

**ANNEXES ■**



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# ANNEXES



# ANNEX I

## TERMS OF REFERENCE

### FORMATIVE EVALUATION OF MONITORING RESULTS FOR EQUITY SYSTEM (MoRES) APPROACH

#### 1. Introduction

UNICEF is mandated by the United Nations General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential. While great efforts are made to improve the lives of children around the world, disadvantaged children continue to lack access to basic services due to geographic, social, economic and political constraints. A special report on a study by UNICEF finds that an equity-focused approach to child survival and development is the most practical and cost-effective way to achieve the Millennium Development Goals for children.<sup>1</sup> In 2010, UNICEF launched a refocus on equity under the premise that equity-focused programming is not only right in principle, but right in practice. Since this launch, UNICEF has systematically supported a number of key steps to translate the equity vision into practice. As a result of this institutional process, Monitoring Results for Equity System (MoRES) was developed as an approach intended to accelerate progress in reaching the most deprived children.<sup>2</sup>

Since the launch of the equity refocus agenda<sup>3</sup> by the Executive Director of UNICEF in May 2010, managing equity-focused policies,

programmers and monitoring systems has become a corporate priority. To ensure that UNICEF has objective information on performance, and for the purpose of learning and accountability, the senior management and the Evaluation Committee of UNICEF have requested the Evaluation Office to priorities and conduct an evaluation of the equity approach.<sup>4</sup> Following consultations, it was agreed that the focus of the evaluation should be the MoRES approach, within the wider context of the equity refocus.

To ensure the credibility of the findings and recommendations, this evaluation follows the guiding principles of UNICEF evaluation policy of independence, rigour and transparency.<sup>5</sup> It is also framed to be fully compliant to the UNEG norms and standards<sup>6</sup> and accepted international criteria for evaluation.<sup>7</sup>

#### 2. Background

The documentation on the equity refocus for UNICEF broadly states equity as a policy, advocacy and practice approach that promotes interventions that reduce and/or eliminate unfair and avoidable circumstances that deprive children of their rights and access to services. The equity refocus in broad terms seeks to understand, advocate and address the root causes of inequity so that all children across geographical, economical, and social spectrums have access to education, health care, sanitation,

<sup>1</sup> UNICEF, *Narrowing the gaps to meet the goals*, 7<sup>th</sup> September 2010.

<sup>2</sup> UNICEF, *Enhancing Programmes for Children through MoRES: Workstream One Country Progress Report*, draft of 28<sup>th</sup> September 2012.

<sup>3</sup> The term "equity refocus" is used interchangeably with equity approach.

<sup>4</sup> Referred to as *Evaluability and Process Evaluation of Equity Refocus*, UNICEF Integrated Monitoring and Evaluation Framework 2012-2013, January 2012.

<sup>5</sup> E/ICEF/2008/4 UNICEF Evaluation Policy, 5 December 2007.

<sup>6</sup> See "*Norms for Evaluation in the UN System*" and "*Standards for Evaluation in the UN system*," United Nations Evaluation Group (UNEG), April 2005.

<sup>7</sup> OECD/DAC Criteria for Evaluating Development Assistance. <http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/daccriteriaforevaluatingdevelopmentassistance.htm>



clean water, protection, and other services necessary for their survival, optimal growth and development.<sup>8</sup>

Since the launch of the equity refocus by UNICEF, the systems and tools to improve programming and policies for equitable results have continuously evolved through a number of steps. Box 1<sup>9</sup> provides a timeline of the equity refocus from initial concept to the shaping of its application and operationalization within UNICEF. The dynamic process has led to the development of MoRES as a monitoring tool and programming approach to strengthen UNICEF’s and partners’ ability to deliver equitable results.

**MoRES is a conceptual framework for effective planning, programming, implementation, monitoring and managing for results to achieve desired outcomes for the most disadvantaged children.** Central to the MoRES approach are three key elements: equity refocus, management for results, and bottleneck and barrier

analysis. The conceptual design is intended to enable MoRES to be applicable to all country contexts whether it is in low income/high burden service-oriented settings or middle income countries where cooperation is focused on technical assistance and policy advocacy.<sup>10</sup>

MoRES has been an evolving concept. At the Nairobi MoRES Consultation a consensus was reached that MoRES represents a set of universally applicable (for all stakeholders) equity-focused good programming, planning and monitoring principles including a commitment to: (1) clear articulation of results, focused on the most disadvantaged children, families, communities; (2) identification and analysis of the full chain of determinants of child deprivation, with special focus on the identification of barriers and bottlenecks; (3) strengthening the monitoring (at national and subnational level) of results across the four levels, with particular emphasis on enhanced level 3 monitoring;

## BOX 1

### Evolution of equity refocus in UNICEF

• May 2010:	Incoming ED launches refocus on equity
• July - Aug 2010:	Modeling cost-effectiveness of pro-equity strategies
• Sept - Dec 2010:	Successful advocacy for ‘Narrowing the Gaps’
• Jan - Mar 2011:	Strategic Result Areas (SRAs) evolved from “Drivers” to “Tracers”
• Apr - June 2011:	Development of monitoring ‘CUP’ focus on Level 3
• July 2011:	Decision to report Level 3 monitoring results in VISION
• July - Sept 2011:	Development of determinants framework for Level 3 monitoring, example indicators and means of verification in VISION
• Oct - Dec 2011:	MoRES orientation at VISION training, RMTs, DROPs
• Jan - Feb 2012:	Global 2yr Management plan for MoRES adopted
• Mar - June 2012:	Workstream One: 27 countries implement L3M
• Jul - Aug 2012:	Design of integration of programmers, policies, partnerships and innovations around deprivations and bottlenecks
• Sept - Dec 2012:	Mainstreaming of MoRES in Annual Review Process

<sup>8</sup> UNICEF, Re-focusing on Equity: questions and answers, November 2010.

<sup>9</sup> UNICEF, Enhancing Programmes for Children through MoRES: Workstream One Country Progress Report, draft of 28<sup>th</sup> September 2012.

<sup>10</sup> UNICEF, Working Document for Internal UNICEF Colleagues: Monitoring of Results for Equity Systems, 25<sup>th</sup> May 2012.



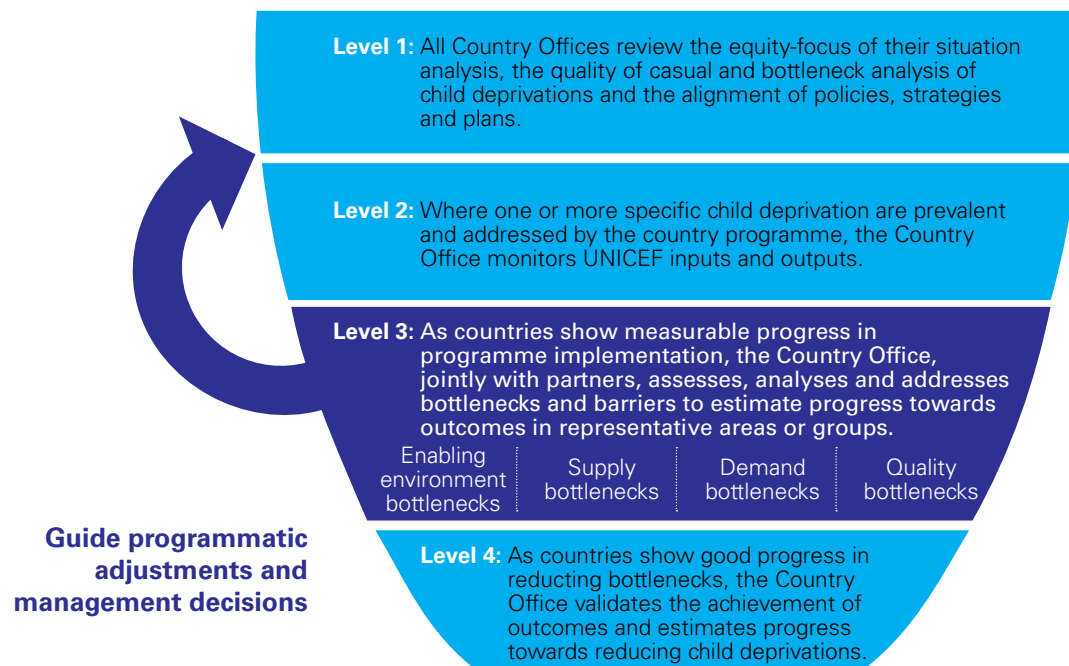
(4) application of proven programme strategies that focus on removing these barriers and bottlenecks;(5) introduction of innovative approaches to improve programme design, implementation, monitoring and evaluation;(6) improved accountability for reporting on actions taken to remove barriers and bottlenecks, the results achieved, and lessons learnt to inform programmatic response<sup>11</sup>.

The system follows four levels of analysis and monitoring with a feedback loop, as shown in the picture below. Broadly, the four complementary levels of MoRES function under the premise that better information collected and monitored will enable UNICEF to better target and innovate programming for equitable results.

A set of ten determinants are used to help identify bottlenecks and barriers. The determinants framework is a tool to review, revise or develop a clear theory, or pathway, of change.

The framework contains ten generic determinants which represent the key conditions that are required for effective coverage of any given package of services, care practices or behaviours. The main categories of determinants are described in the table below (pg. 6).<sup>12</sup>

The Level Three monitoring centers on measuring changes in the reduction of barriers and bottlenecks, which are monitored to provide frequent and real time feedback to enable adjustments to programming, as well as to support advocacy and leverage other partners. For UNICEF purposes, country offices priorities key issues facing disadvantaged children and through a bottle neck analysis select priority determinants to be monitored and reported with partners. Globally, UNICEF aims to aggregate result against each of the determinants to compare results across regions and countries and assess its global outcomes on specific programme areas.



<sup>11</sup> Revised Recommendations: Nairobi MoRES consultation, 30-31 August 2012.

<sup>12</sup> Work-stream One: Monitoring Results for Equity (MoRES) Progress Report as of 22 October 2012 (Draft 25<sup>th</sup> Oct. 2012).



## Categories of determinants

	Determinants	Definitions
<b>Enabling Environment</b>	Social Norms	Widely followed social rules of behaviour
	Legislation/Policy	Adequacy of laws and policies
	Budget/Expenditure	Allocation and disbursement of required resources
	Management /Coordination	Roles and Accountability/ Coordination/ Partnership
<b>Supply</b>	Availability of Essential Commodities/Inputs	Essential commodities/ inputs required to deliver a service or adopt a practice
	Access to Adequately Staffed Services, Facilities and Information	Physical access (services, facilities, information)
<b>Demand</b>	Financial Access	Ability to afford (services/practices), both direct and indirect costs
	Social and Cultural Practices and Beliefs	Individual/ community beliefs, awareness, behaviours, practices, attitudes
	Timing and Continuity of Use	Completion/continuity in service, practice
<b>Quality</b>	Quality of care	Adherence to required quality standards (national or international norms)

A Steering Committee leads the MoRES roll out and serves to provide strategic direction and general oversight, and issues tools and guidance. The Committee is supported by the Coordination and Technical Team, Field Reference Group, and a Secretariat. The Technical Team and Field Reference Group consist of global and regional senior management and relevant technical experts.<sup>13</sup> The architecture for the management of MoRES was revised and consolidated in November 2012.<sup>14</sup>

The development of MoRES has been a fluid process, with articulation and provision of technical notes in 2011 and incorporation into IT system such as VISION. The operationalization of MoRES started with 27 self-selected countries (Work Stream One) piloting MoRES in 2012. A progress report based on the experiences and learning from Work Stream One countries has now been prepared and shows

variations in methods, models and depth of analysis. The report states that: “The experience shows that decentralised monitoring is applicable across all programme areas, including humanitarian contexts. About half of the countries have begun level 3 monitoring with one or two specific programme areas, a quarter are examining three to four programme areas, and the last quarter have begun right away with five or more programme areas. Some countries are beginning with a baseline (level one) analysis at central level while others are starting at decentralised level (level three). These entry points where countries are starting to implement MoRES are flexible and dynamic and the choice of entry points depends on specific country’s context—including current resources, timing of programming processes, deprivation patterns, and other historic, opportunistic reasons in a country.”<sup>15</sup>

<sup>13</sup> UNICEF, Monitoring Results for Equity System: Global Management Plan, DRAFT, 10 January 2012.

<sup>14</sup> Note for the Record: MoRES Steering Committee (SC), October 9, 2012.

<sup>15</sup> Work-stream One: Monitoring Results for Equity (MoRES) Progress Report as of 22 October 2012 (Draft 25<sup>th</sup> Oct. 2012).



The current focus is to mainstream MoRES at a global level in 2013. The mainstreaming will be informed by learning and re-tooling of guidance and methods based on the experiences of the pilot countries.

Overall, MoRES has remained a fluid concept and approach. The approach, methods and guidance have changed with implementation experience and time.

### 3. Rationale

As UNICEF advances towards mainstreaming of MoRES at a global level, the system is also being considered as a key approach within the UNDG and UNICEF's work with partners. Given the high level of priority and the growing weight of expectations regarding MoRES, it has become an important topic for a corporate-level strategic evaluation. Further the shift towards scale-up offers a timely juncture for UNICEF to systematically assess the approach and its experience in implementing it to date in order to learn and support its further roll out, adaptation and systematization.

As MoRES is intended to support progress towards better results for the most disadvantaged children, an evaluation will help to ensure that this goal is kept firmly in view. An evaluation will provide independent validation of the conceptual, technical and practical viability of MoRES as an approach, glean lessons on what is working well, and identify areas where further work is required of this evolving process. In this regard, the evaluation is in tune with the MoRES principles of continuous learning, innovation and improvement, and is expected to help to strengthen the approach and its wider adoption.

### 4. Purpose

**The objective of the evaluation is to support continuing efforts across UNICEF to articulate, develop and mainstream the MoRES approach by learning from experience.** The evaluation is therefore forward-looking, conceived as a **formative**<sup>16</sup> evaluation focused on operational learning and practical adaptation rather than on issues of accountability and outcomes. It will draw early lessons to help sharpen the coherence, methods, and tools of the MoRES approach to UNICEF programming and policies. More widely, it will aim to show how far the adoption of MoRES is beginning to contribute (or has clearly shown the potential to contribute) to improve the lives of the most disadvantaged children. It will also note opportunities and risks and analyses the causes of good performance or any shortcomings.

In order to provide clarity on the extent the organization has been able to understand, absorb and operationalize the MoRES concept and approach, the evaluation is intended to impartially and systematically provide clear findings and conclusions on the five key issues:

1. The conceptual clarity of the UNICEF's equity agenda and objectives (as required to assess the relevance of the MoRES approach to the wider equity agenda of UNICEF).
2. The definition, development and current status of the tools and methods (including the substantive analytical underpinnings) of MoRES approach and its role in UNICEF's equity agenda.
3. Early lessons on the factors promoting or constraining the implementation of MoRES and its potential to achieve better programme outcomes and impact.

<sup>16</sup> Formative evaluation is defined as an evaluation intended to improve performance, most often conducted during the implementation phase of project or programme (OECD, Glossary of Key Terms in Evaluation and Results Based Management, 2010). The evaluation primary focus is on learning and programme improvement, rather than accountability and demonstrating outcomes.



4. Lessons from experience on the substantive capability of the MoRES tools and methods to identify and address deprivation;
5. The extent to which it appears possible to measure and evaluate the future performance of the MoRES approach and attribute results expected from its implementation in the medium and long term.

The intended audience for the evaluation results are programme managers and staff in UNICEF and governments/partner organizations, as well as senior decision makers (Steering Committee for MoRES and the Global Management Team).

## 5. Scope

**The focus of the evaluation is on learning from the application of MoRES.** The analysis of MoRES will be undertaken at three levels: (1) the conceptual level; (2) the introduction and management of the approach; and (3) lessons learnt at the national level from the MoRES implementation experience. The information and analysis from the three levels will feed into a final analysis of the integrity of the MoRES concept and the system to support/implement MoRES from a global, regional and national perspective.

**At the conceptual level the evaluation will undertake analysis to determine whether MoRES is substantively, logically and methodologically sound and has the analytical and substantive potential to deliver better results for the most disadvantaged children.**

**The introduction and management of the approach will be analyzed to learn how the piloting of the approach was governed, managed, resourced and communicated at both headquarters and regional level.**

After the examination for clarity at the conceptual level and analysis of how the approach was

introduced and managed, the analysis will shift focus to the country level. The role of global and regional support to provide technical guidance will be examined from the point of view of the country implementation. **The focus of the country level analysis is to distil lessons from application of the MoRES approach at all four levels, with specific attention to the determinants framework, barriers and bottleneck analysis, and the application of the feedback loop across programme sectors and deprivation patterns.**

The evaluation will draw lessons from experience to date, particularly as these relate to the articulation, implementation and management of MoRES. **This formative evaluation does not cover overall progress on equity refocus approach but will attempt to distil and articulate UNICEF's equity objectives with a view to making a clear analysis of the relevance of MoRES to the wider equity perspective.**

The evaluation will aim to address the following:

### A. Examination of conceptual viability and systems development

#### Conceptual aspects

- The definition, development and current status of the MoRES approach and its role in achieving UNICEF's equity objectives (the evaluation will attempt to distil conceptual clarity and articulation of UNICEF's equity objectives so as to be able to assess the relevance of the MoRES approach to UNICEF's equity objectives);
- The substantive analytical work underpinning the MoRES approach, including the refinement of the *theory of change*,<sup>17</sup> the choice and use of analytical tools within the MoRES approach, specifically, the determinants framework and bottleneck analysis;

<sup>17</sup> Theory of Change, also referred to as programme theory, programme logic or theory-based evaluation, refers to a variety of ways of developing a causal modal linking programme inputs and activities to a chain of intended or observed outcomes, then using this model to guide an evaluation. Rogers, Patricia. "Using programme theory to evaluate complicated and complex aspects of interventions." Evaluation, 2008. Vol. 14 (1): 29-48.



### MoRES development, management and systems coherence

- How MoRES was introduced and managed in terms its governance, resourcing and communication at both headquarters and regional level.
- The linkage, coherence, adaptability and complementarity/interdependence of various levels and components of MoRES to existing programming systems and methods/tools used by UNICEF and partners, including the Humanitarian Performance Monitoring System and Strategic Results Areas/Intermediate Results framework, HRBAP, IT and Performance Management systems like VISION etc.;
- The extent MoRES incorporates the rights-based approach and adequately takes into account human rights and gender based programming and other cross-cutting issues;

### Articulation of results and ways to measure and evaluate MoRES in the medium- and long-term (evaluability assessment)

- The M&E systems put in place to measure progress towards results for equity, and how MoRES can be shown to have contributed to the outcomes;
- How far the performance and results (including impact) expected from the MoRES approach will be measurable and evaluable in the medium term to demonstrate results on equity(including suggestions for use of counterfactuals to clearly draw linkages between MoRES and results);

## **B. Implementation of MoRES at the national level**

### What happened at the national level

- Understanding and application at the country level of MoRES methods and tools, such as determinant framework and

bottleneck analysis. Specifically, how countries engage with the four levels of MoRES and what each level encompass; how countries integrate MoRES across all phases of the programme cycle; how MoRES improved sectoral and inter-sectoral planning/programming as informed by attention to barriers and bottlenecks; the extent the feedback loop is in place and shifts in programming that is expected; the extend of beneficiary involvement; the programmatic and capacity trade-offs of undertaking this type of approach; and most importantly, how MoRES improves knowledge on the underserved groups and deprivation patterns;

- Understand how the process underway to bring together MoRES and the Humanitarian Performance Monitoring System (HPM) has functioned in practice;
- Estimate where possible the costs and benefits of implementing MoRES, taking into account the different ways it has been implemented by Country Offices;
- Highlight opportunities and issues related to introduction and scalability of MoRES approach.

### How did the theory of change work in practice

- The ways in which the approach has been taken up and implemented across countries, taking account of the diverse sector requirements, deprivation patterns and programme contexts. This includes adaptability and flexibility of MoRES in meeting the requirements of programming in different social, economic and political contexts, including those with scarce data or limited capacity for analysis, and/or settings of humanitarian action;
- Evidence of changes in programmes due to MoRES and removal of barriers and obstacles from the bottleneck analysis;



### UNICEF and partner ownership/capabilities

- The response and expectations of programme partners including Governments and other partners, paying particular attention to the importance acceptance and “ownership” government and partners to the approach;
- The capacities (human resource investment, skills, knowledge and systems) and capabilities within UNICEF, governments and partners to implement the MoRES approach and take forward the findings from MoRES.

### Learning about MoRES, learning from MoRES

- Factors promoting or constraining the implementations of MoRES and the potential for achievement of better programme results through MoRES;
- Documentation, validation and use of lessons learned and knowledge obtained through MoRES;
- Use of social, technological and systems innovations for data collection, analysis and use in MoRES, especially as these relate to equity issues;
- Evidence of unintended consequences (positive or negative) and trade-offs of implementing the MoRES approach;
- The likely sustainability of the MoRES approach and results achieved through MoRES;
- Systemic issues in rolling out corporate priorities or strategic programmes globally.

The questions and framework of analysis will be informed by the standard international evaluation criteria.<sup>18</sup> Specifically, the evaluation will assess, as systematically and objectively as

possible: the **relevance** of the MoRES approach as a whole in relation to the equity refocus objectives and national contexts; the **coherence** of the approach to existing programming systems and tools; the **consistency** and **coverage** of MoRES through its ability to adapt to varying operating contexts, including humanitarian context through HPM, geographic and sectoral diversity; internal and external **coordination** in the development and roll out of MoRES; the **efficiency** and **effectiveness** of the roll out and early implementation of MoRES; and its likely **sustainability** in terms of early national and partner acceptance/ownership of the concepts and their capability to implement the newly introduced approaches.

## 6. Evaluation Methodology

**The evaluation is a forward-looking formative evaluation that includes an evaluability assessment component.** Multiple methods for data collection will be used to suit the purpose of the formative evaluation. The evaluation will take a consultative approach, drawing on the experience of stakeholders at headquarter, regional and country level.

Methodological orientation will be provided by constructing a logic model to map result pathways embodied in the MoRES approach as framed in the various documents and as understood by stakeholders. This would build on a conventional *theory of change* approach, while taking into account the complexity of social programme interventions. This will provide a systematic basis for analyzing expectations around MoRES, by analyzing how various elements/components of MoRES fit together within a context and provide a credible and logical trajectory to expected results<sup>19</sup>. The Theory of Change already developed by UNICEF technical team will be validated or further refined/reconstructed.

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<sup>18</sup> OECD/DAC Criteria for Evaluating Development Assistance. <http://www.oecd.org/dac/evaluationofdevelopmentprogrammes/daccriteriaforevaluatingdevelopmentassistance.htm>

<sup>19</sup> The analysis will explore how far and in which ways a broad theory of change has been adapted to specific contexts.



*Country case studies* will constitute a key avenue of enquiry. A limited number of six *in-depth case studies* will be undertaken. These will be complemented by (12 to 15) *light-touch case studies*. The precise number of cases and countries to be considered will be identified in the inception phase taking into account the data needed to answer the evaluation questions.

The in-depth country case studies are designed to better understand the context and illustrate how the MoRES approach and its tools and methods have worked in practice. Furthermore the country cases are by design illustrative examples and will not provide a basis for rigorous comparative statistical analysis. The preliminary findings from the case study visits will be presented to UNICEF staff and partners for discussion prior to the team's departure from the country. A total of fourteen days will be allocated for review of documentation, field visit and finalizing the ten page case study report.

The light-touch case studies will provide a wider range of examples of MoRES implementation. This recognizes that there are likely to be important lessons from Work Stream One countries and "self-starter" countries that are not on the list of in-depth country case studies. These light touch studies would be undertaken through systematic phone interviews and study of country level documentation, with a view to comparing and contrasting various methods and models of MoRES application and to further extend the range of lessons learned through the evaluation.

**Prior to conduct of the evaluation an inception report will be prepared.** The inception report will have the following elements:

- A refined *theory of change* developed through a document review and consultation with main stakeholders, drawing on

the *theory of change* and conceptual frameworks developed by the MoRES technical team;

- the key evaluation questions will be formulated, derived from the emerging *theory of change*;
- an evaluation matrix, showing how data will be collected to answer the questions;
- a refined analytical framework, including clearly articulated key concepts and terms and explicit methods for country case study analysis;
- a final list of countries for the field visits and interviews;
- a clear work plan for completion of the evaluation.

As a formative evaluation the focus is on learning lessons and therefore it is important to select country cases that have made adequate progress in implementing MoRES and are information rich and illustrative from which careful generalization can be drawn. To this end, criterion sampling is used to select the countries for field study visits, which entails selecting cases that meet some predetermined criterion of importance. The criteria for selecting the country cases includes those which (a) have already conducted level 3 monitoring, (b) have used the determinants as the basis of analysis, (c) have used the MoRES approach across at least three sectors (health, nutrition, HIV, WASH, education and child protection), and (d) most importantly, have analyzed the deprivation patterns.<sup>20</sup> Eleven countries from Annex One fulfil the criteria outlined above: Benin, DRC, Nigeria, Togo, Morocco, Philippines, Indonesia, Bangladesh, Nepal, Zimbabwe and Nicaragua.

<sup>20</sup> Typology for deprivation patterns used by UNICEF: Type A: countries where most of the population experience high levels of deprivation (low coverage of services) while a minority is relatively advantaged; Type C: countries with low levels of deprivation with an excluded minority; Type B countries represent an intermediate case with different levels of deprivation. (Type B is also subdivided with B1 covering African countries and B2 including Asian countries).



The inception report will assess the readiness of the eleven countries based on the set criteria in consultation with the regional/country offices. To keep the scope of work manageable, the final list of countries for in-depth case studies will be limited to six after review of the options. In addition, visits will be made to the Regional Offices to elicit views from a regional management and technical support perspective on the issues regarding MoRES and its implementation. It is envisaged that the evaluation will be conducted in three separate phases:

**Phase One (Examination of concepts, systems, theory of change, introduction and management of the approach at HQ and RO level and preparation of inception report):**

This inception phase will cover the examination of conceptual and technical aspects as well as an analysis of the introduction and management of the approach at HQ and RO level. It is expected that evaluators meet with key stakeholders at headquarter level in New York as well as conduct telephone interviews with relevant regional and country office colleagues. At this stage, the evaluators will commence a careful desk review of existing documentation at headquarter and field locations, including technical documents, progress reports, reviews, monitoring and evaluation reports, policies, guidance, programme and conceptual frameworks. One day workshops will be held at headquarter (with invitation to participants from the Regional Office) to elicit feedback, discussion and validation of the developed *theory of change*. This phase will have two distinct products (a) working paper on the concepts, systems development coherence, and theory of change and (b) an inception report with an analysis of the introduction and management of MoRES approach at HQ and RO level and will include data collection and analysis framework, final selection of

countries, and a detail plan for the phase two and three of the evaluation.

**Phase Two (Country level analysis examining MoRES at the national level):**

The core for distilling lessons and understanding what happened at the national level will be the country level analysis through field visit and telephone interviews. The method for the country level analysis where field visits are undertaken is based on several building blocks: background material drawn from Phase One; desk study of key documents and preparation of the preliminary *theory of change* as applicable to the country context; based on stakeholder consultation revise/adapt the theory of change to country context; follow up on the emerging issues from the desk review with one-on-one interviews and focus group discussions with key stakeholders; in-depth analysis where possible of sectoral and deprivation issues and programme changes arising from the application of MoRES; and a stakeholder feedback and verification session based on emerging findings and analysis. A case analysis with major findings will be prepared after the field visit and shared with the country office.

The country analysis through study of documentation and interview of key informants through telephone will focus on analysis where possible of sectoral and deprivation issues and programme changes arising from the application of MoRES; it will study the various tools, methods and models used in the application of MoRES and it will cover the issues outlined in the scope of the formative evaluation as applicable to the country situation.



### Phase Three (Summary analysis linking concepts and practice):

In the final phase, the evaluators will systematically bring together the conceptual framework and evidence from country level analysis and data from the interviews/workshops in the final report, which will provide conceptual clarity, answer issues raised in the scope of the evaluation, distil lessons learnt and suggest concrete ways to improve the MoRES approach for UNICEF and its partners.

Four one day workshops will be organized at headquarter and regional level to discuss the conceptual aspects, progress made and lessons learnt. This will serve as a validation process as well as an initial communication of key messages emerging from the evaluation.

In addition, the evaluators are expected to prepare a separate report on the evaluability study as part of Phase Three. This working paper will help to ensure the feasibility and readiness of UNICEF for a comprehensive evaluative exercise and impact study in the future, in terms of the data needs, indicators and technical feasibility.

## 7. Reporting

The evaluation will produce a set of reports as follows:

- An Inception Report (20 pages)
- A working paper on the concepts, systems development coherence, and *theory of change* (20 pages)
- Working papers on in-depth country case studies (10 pages each).
- A final report of up to 40 pages (including a short Executive Summary) presenting key findings, conclusions, lessons and recommendations

- A working paper presenting an evaluability assessment and recommendations to allow accurate costing, measurement and evaluation of the MoRES approach and the results it supports in the medium term.

The final report will be published and disseminated, in line with UNICEF's Evaluation Policy. The working papers will be treated as internal documents.

## 8. Governance

The evaluation will be managed by the Evaluation Office independently of stakeholders involved in MoRES implementation (but in close consultation with stakeholders). The Evaluation Office will commission a small team of consultants to undertake the evaluation.

**A. An internal reference panel** composed of the UNICEF staff from HQ, RO and CO will be established to provide facilitation and advice to ensure relevancy and utility of final evaluation products. Main responsibilities include:

- provide substantive comments on the initial ToR, and key outputs produced by the evaluation team, including inception report, working papers and final evaluation;
- facilitate the collection of key documentation on the conceptualization, evolution, and implementation of MoRES approach and equity agenda, as needed;
- assist the Evaluation Office with access to key stakeholder groups and individual stakeholders, as needed;
- participate in dissemination and uptake of major recommendations emerging from the evaluation.



**B. An external advisory panel** will also be established to review findings and conclusions from the evaluation. This will comprise up to four senior advisors from governments, other development agencies and research bodies. The panel will be engaged to comment on the evaluation reports.

## 9. The Evaluation Team

The evaluation will be carried out by a team consisting of the following:

- **Principal Consultant** – An international consultant, with the overall responsibility for providing guidance and leadership to the team and for coordinating the analysis and preparation of the evaluation reports. The Principal Consultant must have demonstrated capacity in substantive issues related to equity for children, strategic thinking and social policy advice, ability to lead an evaluation of complex programmes, excellent drafting skills, as well as substantive knowledge of children’s issues (in particular, programmatic areas covered by UNICEF).
- **Three Senior Subject Matter Specialists** – Three senior sector specialists will provide the expertise in the core subject areas

(health, nutrition, HIV, WASH, education and child protection) of the evaluation. The specialists will have expertise in equity and the programme areas, as well as at cross cutting issues such as gender and human rights as it relates to equity and programme planning and monitoring. At least one of the specialists will have substantial expertise in the analysis of programme costs and benefits.

The Principal Consultant and one Senior Subject Matter Specialist will be required for Phase One of the evaluation. For Phases Two and Three, the full team will be working, with teams of two envisioned to carry out individual case studies running in parallel. National consultants with the similar experience as the Subject Matter Specialists will provide support as required for the country case studies.

All members of the team are expected to be familiar with various evaluation approaches and methods and with UNICEF/UN programme and policy practices. The team’s work will be guided by the norms and standards for evaluation established by the United Nations Evaluation Group and will adhere to the ethical code of conduct.<sup>21</sup>

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<sup>21</sup> See “Norms for Evaluation in the UN System” and “Standards for Evaluation in the UN system,” United Nations Evaluation Group (UNEG), April 2005.



## ANNEX II

## MoRES EVALUATION: COUNTRY SELECTION CRITERIA

Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>22</sup>	Programme Type <sup>23</sup>	Country budget <sup>24</sup>	Patterns of Deprivation <sup>25</sup>	Approach Type for Going to Scale <sup>26</sup>	Sectoral Focus	Special Initiatives
EAPRO	Indonesia	Full L3	MIC[L]	SD (14% of 2011-2015 budget is advocacy and partnership – appears to be shifting upstream though)	Country programme 2011-2015: \$155,200,000	AB	Patchwork	Child survival Education	Interim MICS <i>Delivering as One + MoRES/MAF</i>
	Laos	Limited L3	MIC[L]	SD (11% budget allocated to social policy)	Country Programme: 2012-2015 \$59,548,000	AB	<i>Oil stain</i>	Child health and nutrition Education	<i>Delivering as One + MoRES/MAF</i>
	Philippines	Full L3	MIC[L]	Mixed (41% of budget allocated to social policy and risk mitigation, which includes policy work and disaster preparedness)	Country Programme: 2012-2016 \$85,495,000	AB	Patchwork	MDGs with equity L3: health, education, ECD L1: child protection	Interim MICS

<sup>22</sup> HIC, MIC, LIC, as classified by World Bank (<http://databank.worldbank.org/data/views/variableselection/selectvariables.aspx?source=world-development-indicators>)

<sup>23</sup> Service delivery (SD), humanitarian (Hum), policy advocacy (Ad).

<sup>24</sup> Taken from latest country programme documents available on UNICEF's website ([http://www.unicef.org/about/execboard/index\\_46487.html](http://www.unicef.org/about/execboard/index_46487.html))

<sup>25</sup> AB: focus on geographical areas of deprivation; C: focus on deprived groups.

<sup>26</sup> Based on classification in the Work-stream Country Report, 2012.



MoRES Evaluation: Country Selection Criteria (cont'd)

		Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives		
ROSA	Bangladesh	Full L3	LIC	SD (5% of budget allocated to advocacy or policy)	Country Programme: 2012-2016 \$445,410,000	AB		Social services for women and children Education Child survival (e.g. vaccination is referenced)	RTMMV country study on primary education		
	Bhutan	Limited L3	MIC[L]	SD	Country Programme: 2008-2012 \$19,830,000	AB	Patchwork	Early child development	Delivering as One + MoRES/MAF		
	Nepal	Full L3	LIC	SD/Ad (20% of budget to policy reform)	Country Programme: 2013-2017 \$144,112,000	AB	Patchwork	Nutrition and child survival Social sector system strengthening	Interim MICS		
	Pakistan	Design stage	MIC[L]	SD and Hum	Country Programme: 2013-2017 \$410,750,430				Delivering as One + MoRES/MAF		



## MoRES Evaluation: Country Selection Criteria (cont'd)

Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives
ESARO	Mozambique	Sector focus	LIC	SD	Country Programme: 2012-2015 \$228,036,000	AB	<i>Oil stain (synergizing approach in WASH, under big bang)</i>	WASH eMTCT Also doing another stream of work around sectoral and cross-sectoral bottlenecks	<i>Delivering as One + MoRES/MAF</i>
	Rwanda	Sector focus	LIC	SD	Country Programme: 2013-2018 \$120,250,000		<i>Big bang</i>	Nutrition Early child development	<i>Delivering as One + MoRES/MAF</i>
	South Africa	Sector focus	MIC[U]	SD (9% of budget for social policy and advocacy)	Country Programme: 2013-2017 \$79,550,000		<i>Big bang</i>	HIV – specifically eMTCT	
	Uganda	Full L3	LIC	SD (3% budget allocated for social policy & evaluation)	Country Programme: 2010-2014 \$241,330,000	AB	<i>Patchwork</i>	Child survival Child protection (SMS reporting on FGM) Education (rapid reporting on teacher attendance) WASH Advocacy for change	Interim MICS RTMMV country study on U-report and mTrac <i>Delivering as One + MoRES/MAF</i>
	Zimbabwe	Full L3	LIC	SD (3% of budget allocated to advocacy)	Country Programme: 2012-2015 \$339,728,000	AB	<i>Big bang</i>	Young child survival and development Basic education	



MoRES Evaluation: Country Selection Criteria (cont'd)

Country by Region		Criteria									
Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives			
WCARO	Benin	LIC	SD (1% of budget is advocacy/partnership)	Country Programme: 2009-2013 \$60,007,500	AB	<i>Big bang</i>	Child Survival WASH Nutrition HIV Basic education	Interim MICS Monitoring Plus Delivering as One + MoRES/MAF			
	DRC	LIC	SD + Hum	Country Programme: 2013-2017 \$664,730	AB	<i>Patchwork</i>	Child Survival Basic education WASH, Child Protection & Nutrition emerging – intersectoral collaboration	HAC			
	Ghana	MIC[L]	SD (6% of budget allocated to advocacy, communication, monitoring & analysis)	Country Programme: 2012-2016 \$183,055,000	AB	<i>Big bang</i>	Education Child survival Special focus on linking national, regional and district-level	Use of rapid SMS and mobile technology			
	Niger	LIC	SD (9% of budget allocated to advocacy, communication)	Country Programme: 2009-2013 \$164,672,000		<i>(synergizing approach on nutrition)</i>	Child survival Nutrition C4D Education Child protection				



## MoRES Evaluation: Country Selection Criteria (cont'd)

Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives
WCARO (cont'd)	Nigeria	Full L3	MIC[L]	SD (4% of budget is Social policy, advocacy and communication)	Country Programme: 2009-2012 \$455,890,000		<i>Big Bang -synergizing approach on birth registration</i>	Health and nutrition Basic education Watsan Birth registration highlighted in WS1 report	HPMS Use of rapid SMS technology
	Senegal	Design stage	MIC[L]	SD (9% budget allocated to social policy/ advocacy)	Country Programme: 2012-2016 \$76,730,000		<i>Oil stain</i>	Child survival Education Child protection	RTMMV country study on child protection
	Togo	Full L3	LIC	SD (13% of budget is Social policy & partnership)	Country Programme: 2008-2012 \$43,063,000	AB		Child survival	Joint development of a guide by MoH, WHO, UNFPA & UNICEF: 'analyses des goulots d'étranglements – planification et monitoring – guide pour le district'



MoRES Evaluation: Country Selection Criteria (cont'd)

Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives
MENA	Egypt	Sector focus	MIC[L]	Mixed	Country Programme: 2013-2017 \$44,879,000		<i>Big bang</i>	Child survival (specifically neonatal mortality, through continuum of care of MINCH and nutrition)	Interim MICS
	Lebanon	Design stage	MIC[U]	Mixed	Country Programme: 2010-2014 \$11,250,000			Child protection	
	Morocco	Sector focus	MIC[L]	Mixed (32% of budget allocated to Local development and child and youth rights, or Social policy, M&E)	Country Programme: 2012-2016 \$32,045,000		<i>Big bang</i>	<b>Education</b> Child survival	



## MoRES Evaluation: Country Selection Criteria (cont'd)

		Criteria									
Country by Region	Workstream 1	L3 Monitoring	Income Level <sup>108</sup>	Programme Type <sup>109</sup>	Country budget <sup>110</sup>	Patterns of Deprivation <sup>111</sup>	Approach Type for Going to Scale <sup>112</sup>	Sectoral Focus	Special Initiatives		
TACRO	Guatemala	Full L3	MIC[L]	SD	Country Programme: 2010-2014 \$34,230,000	C	<i>Big bang</i>	Nutrition/child survival Education Child protection			
	Nicaragua	Sector focus	MIC[L]	Ad	Country Programme: 2013-2017 \$34,000,000	C	<i>Big bang</i>	<b>Education</b> Early childhood development Child protection (sexual exploitation) HIV – eMTCT			
	Peru	Sector focus	MIC[U]	Ad	Country Programme: 2012-2016 \$47,150,000	C	<i>Patchwork</i>	<b>Nutrition</b> Early child development			
CEE/CIS	Georgia	Sector focus	MIC[L]	Ad	Country Programme: 2011-2015 \$29,050,000	C	<i>Big bang</i>	Early learning Deinstitutionalisation of children			
	Moldova	Limited L3	MIC[L]	Ad	Country Programme: 2013-2017 \$24,050,000	C	<i>Big bang</i>	Child protection Education	<i>Delivering as One + MoRES/MAF</i>		



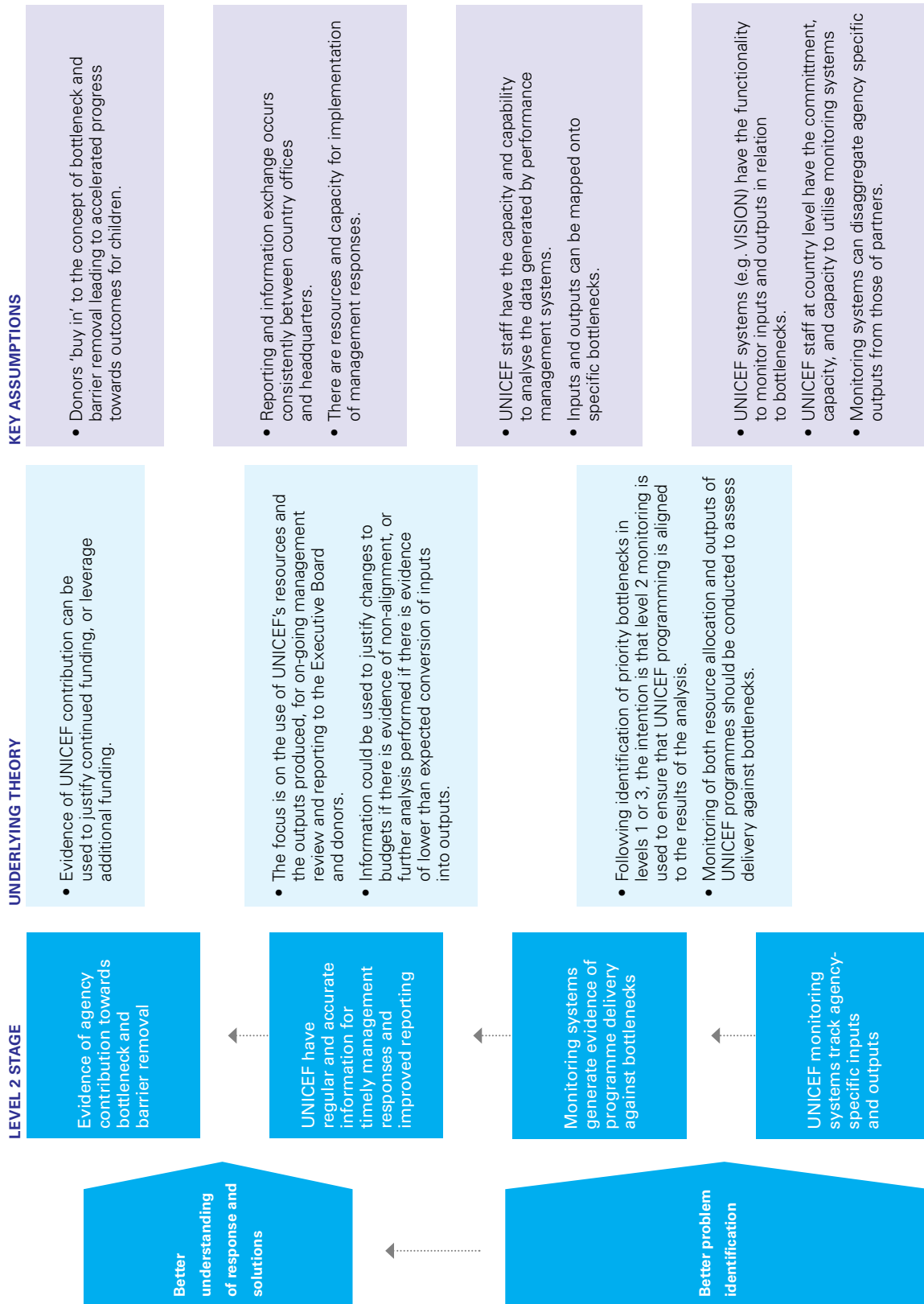
## ANNEX III



(1) The comparative cost-effectiveness of an equity-focused approach to child survival, health, and nutrition: a modelling approach. The Lancet series. Carlos Carrera, Adeline Azrack, Genevieve Begkoyian, Jerome Pfaffmann, Eric Ribaira, Thomas O'Connell, Patricia Doughty, Kyaw Myint Aung, Lorena Prieto, Kumanan Rasanathan, Alyssa Bottleneck analysis - a method for e valuating and assessing qualitative characteristics in the rural development process. O. Seibert

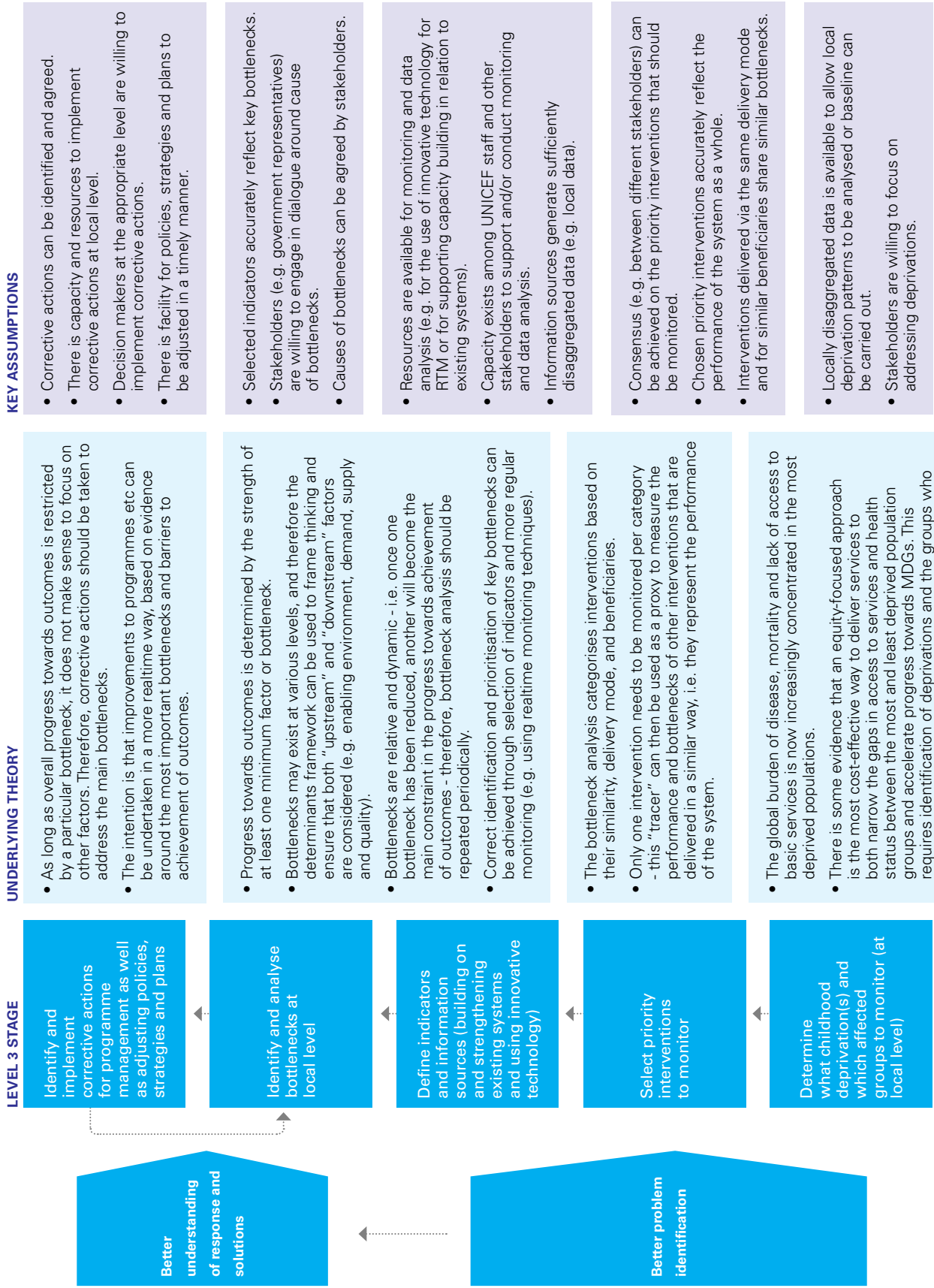


Unpacking the levels of MoRES: Level 2



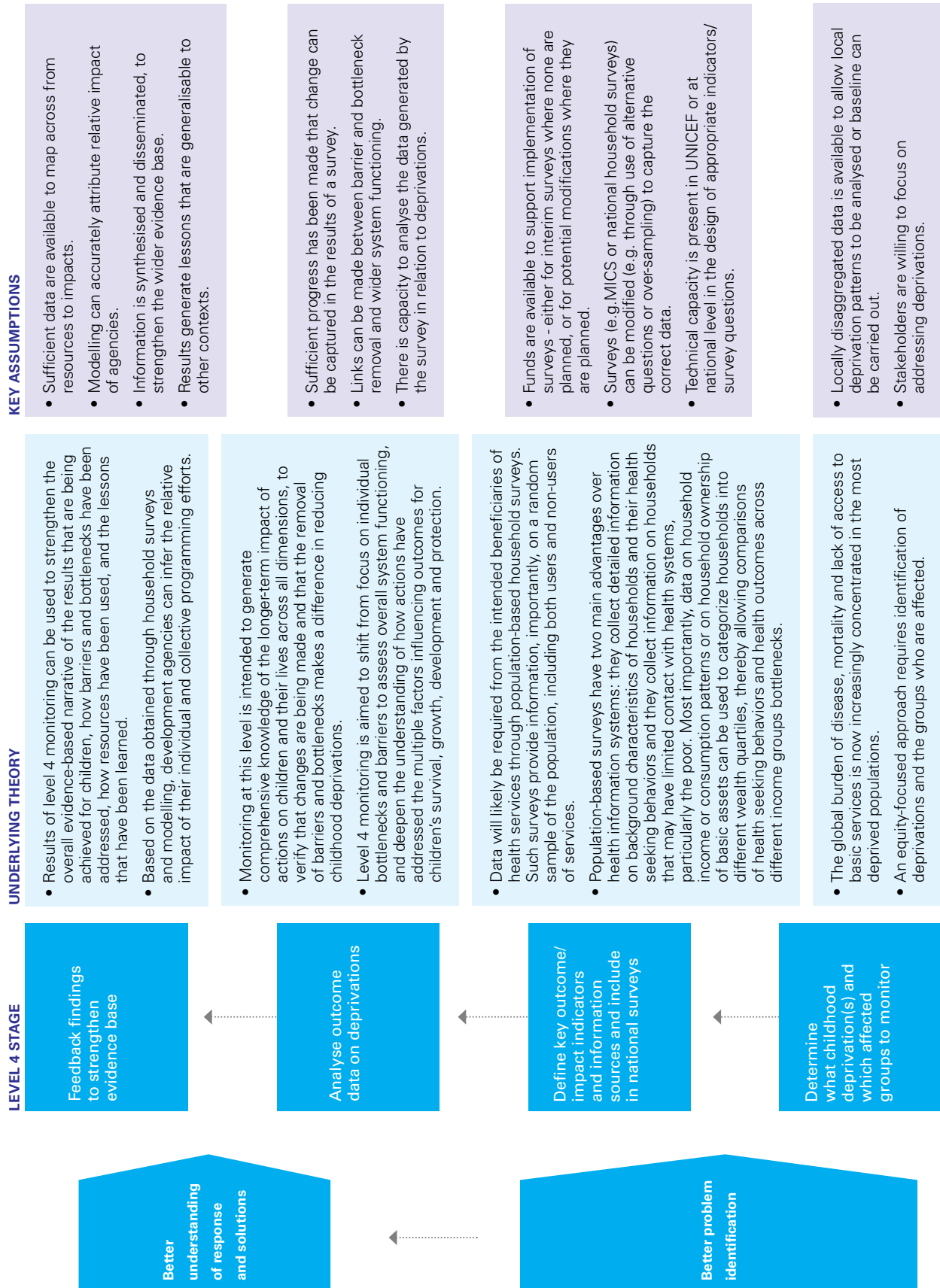


# Unpacking the levels of MoRES: Level 3





Unpacking the levels of MoRES: Level 4



UNDERLYING THEORY

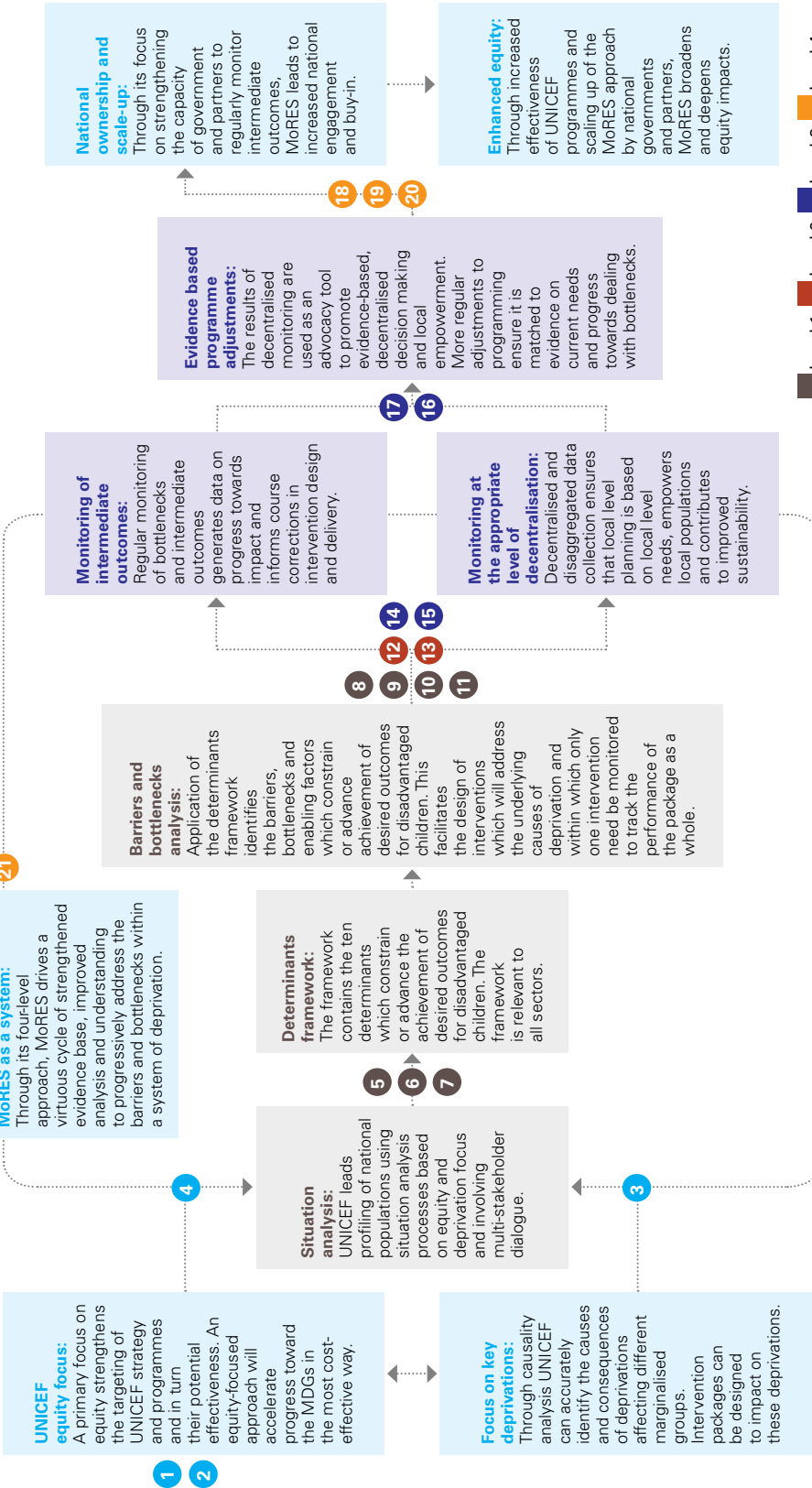
- Results of level 4 monitoring can be used to strengthen the overall evidence-based narrative of the results that are being achieved for children, how barriers and bottlenecks have been addressed, how resources have been used, and the lessons that have been learned.
- Based on the data obtained through household surveys and modelling, development agencies can infer the relative impact of their individual and collective programming efforts.
- Monitoring at this level is intended to generate comprehensive knowledge of the longer-term impact of actions on children and their lives across all dimensions, to verify that changes are being made and that the removal of barriers and bottlenecks makes a difference in reducing childhood deprivations.
- Level 4 monitoring is aimed to shift from focus on individual bottlenecks and barriers to assess overall system functioning, and deepen the understanding of how actions have addressed the multiple factors influencing outcomes for children's survival, growth, development and protection.
- Data will likely be required from the intended beneficiaries of health services through population-based household surveys. Such surveys provide information, importantly, on a random sample of the population, including both users and non-users of services.
- Population-based surveys have two main advantages over health information systems: they collect detailed information on background characteristics of households and their health seeking behaviors and they collect information on households that may have limited contact with health systems, particularly the poor. Most importantly, data on household income or consumption patterns or on household ownership of basic assets can be used to categorize households into different wealth quartiles, thereby allowing comparisons of health seeking behaviors and health outcomes across different income groups bottlenecks.
- The global burden of disease, mortality and lack of access to basic services is now increasingly concentrated in the most deprived populations.
- An equity-focused approach requires identification of deprivations and the groups who are affected.

KEY ASSUMPTIONS

- Sufficient data are available to map across from resources to impacts.
- Modelling can accurately attribute relative impact of agencies.
- Information is synthesised and disseminated, to strengthen the wider evidence base.
- Results generate lessons that are generalisable to other contexts.
- Sufficient progress has been made that change can be captured in the results of a survey.
- Links can be made between barrier and bottleneck removal and wider system functioning.
- There is capacity to analyse the data generated by the survey in relation to deprivations.
- Funds are available to support implementation of surveys - either for interim surveys where none are planned, or for potential modifications where they are planned.
- Surveys (e.g. MICS or national household surveys) can be modified (e.g. through use of alternative questions or over-sampling) to capture the correct data.
- Technical capacity is present in UNICEF or at national level in the design of appropriate indicators/survey questions.
- Locally disaggregated data is available to allow local deprivation patterns to be analysed or baseline can be carried out.
- Stakeholders are willing to focus on addressing deprivations.



# MoRES CONCEPT BASED THEORY OF CHANGE



## ASSUMPTIONS

- Equity is consistently defined and understood within UNICEF, including how it relates to UNICEF commitments to the MDGs, reaching the hardest to reach, and the human rights based approach.
- An equity focused approach is more cost effective than alternative targeting strategies
- Country level data is sufficient to accurately identify key deprivations and the groups affected. Data provides coverage of the most marginalised groups.

- Focus on key deprivations and profiling approach are accepted by national partners as valid alternatives to their own targeting strategies.
- The determinants framework is sufficiently robust to accurately identify the determinants of deprivation across all sectors and in all contexts.
- UNICEF staff and partners are capable to apply the framework effectively.
- Country level data is sufficient to accurately identify bottlenecks.

- Analysis is sufficient to identify the true bottlenecks to improved equity and reduced deprivation.
- UNICEF programming is responsive to BBA; resources are available to support identified interventions.
- UNICEF and its partners are able to identify high impact interventions to mitigate deprivations.
- National level programmes are designed and prioritised to remove identified barriers and bottlenecks.

- UNICEF monitoring systems are sufficient to track agency specific inputs and outputs.
- UNICEF monitoring systems are adapted to generate evidence of programme delivery against bottlenecks.
- Appropriate indicators can be identified to monitor intermediate outcomes and barriers, bottlenecks and enabling factors.
- Tracer interventions are appropriate proxies for wider system changes. Time sensitivity of indicators is sufficient to support timely course corrections during implementation.

- Implementing partner has capacity and motivation at the appropriate decentralised level to conduct data collection and analysis for intermediate monitoring.
- There is capacity for manoeuvre at the appropriate decentralised level to take evidence-based decisions in response to MoRES monitoring.
- The added value of the MoRES approach is evident compared to existing approaches to programming and monitoring; resources and political will are sufficient to scale up the approach.

- National surveys adjusted to ensure focus on key childhood deprivations and indicators.
- Analysis of equity outcome data demonstrates reduction in deprivation for most disadvantaged and consequent enhanced national equity.
- The virtuous cycle works and MoRES does progressively address bottlenecks to resolve systems of deprivation in a more cost effective way than other approaches.





# ANNEX V

## MoRES CONCEPT ANALYSIS

Definition of “*Concept*”: an idea which corresponds to **an essential feature (of the ToC)**, or **determines the application (of the ToC)**, and thus plays a part in the use of reason or language to communicate (the ToC).

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Essential feature of the ToC	1 <b>Focus on equity</b> <i>(For UNICEF, equity means that all children have an opportunity to survive, develop and reach their full potential, without discrimination, bias or favouritism)<sup>j</sup></i>	<ul style="list-style-type: none"> <li>• National burdens of disease, under nutrition, ill health, illiteracy, and many protection abuses <b>are concentrated in the most impoverished child populations.</b><sup>ii</sup></li> <li>• Case for equity based on failure of economic growth to reach most disadvantaged; the <b>hidden nature of marginalised groups</b>; global trends adding pressure.</li> <li>• If these children are reached with essential services through an equity-focused approach to child survival and development, there is great potential to <b>accelerate progress toward the MDGs</b> and other international commitments to children.<sup>iii</sup></li> <li>• There is evidence that focusing on the most deprived is the most cost-effective way to deliver services to both narrow the gaps in access to services and health status between the most and least deprived population groups and accelerate progress towards health-related MDGs.<sup>iv</sup></li> <li>• There is also increasing evidence that addressing inequity will lead to <b>sustained growth and stability</b> of countries.</li> <li>• Evidence suggests that equity can be <b>increased by increasing coverage of proven, low-cost interventions.</b></li> <li>• Understanding equity requires consideration of the <b>underlying social causes, structures, drivers</b> etc. that lead to inequity – i.e. a ‘social determinants approach’.</li> <li>• MoRES unites these ideas and reconfirms UNICEF’s commitment to the <b>use of data and evidence</b> in advocacy and programming for implementation of essential services to address the <b>needs of marginalised and disadvantaged children.</b></li> <li>• Focusing on equity aims to accelerate progress towards <b>realising the human rights of all children</b>, i.e. the universal mandate of UNICEF.</li> <li>• Requires a data- and evidence-based approach.</li> </ul>	<p><b>Defining equity:</b> equity not consistently defined; there is varied understanding of and priority given to equity globally (UNICEF literature references the MDGs, reaching the hardest to reach and cost-effectiveness as core arguments).</p> <p><b>Equity and the human rights-based approach:</b> there are differing views on the interface between the two.</p> <p><b>Robustness of the evidence base:</b> Not clear that partners are convinced by the evidence supporting cost-effectiveness of an equity approach.</p>



MoRES Concept Analysis (cont'd)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Essential feature of the ToC (cont'd)	<p>2 <b>Focus on key deprivations</b></p> <p><i>[In-depth analysis of the most critical deprivations in a particular country context and in terms of which specific regions/ groups are most affected by these deprivations']</i></p>	<ul style="list-style-type: none"> <li>• 'Action for equity rests on the foundation of knowledge about the children and population groups that are most deprived and the reasons underlying their exclusion.'<sup>vi</sup> – i.e. "<b>the what and the who</b>".<sup>vii</sup></li> <li>• The design of MoRES based on, and builds on, <b>UNICEF causality analysis</b>. The first step in this analysis is identifying priority child deprivations and groups affected (manifestations), followed by the intervention packages that can impact these deprivations.<sup>viii</sup></li> <li>• In order for interventions to be correctly identified and prioritised, it is important to have data on what the key deprivations are and which children are affected – therefore, this links to UNICEF's <b>commitment to the use of evidence</b>.<sup>ix</sup></li> <li>• The focus on understanding key deprivations is closely linked to the development of a 'determinants framework' (see below). Here the idea of the '<b>determinants of deprivation</b>' is often used interchangeably with the determinants framework.</li> </ul>	<p><b>Evidence:</b> There may not be sufficiently robust or disaggregated data at country level to accurately identify key deprivations and the groups affected. Multiple deprivations: In situations where there are multiple deprivations, or different deprivations affecting different groups, how should they be prioritized?</p> <p><b>Marginalised groups:</b> There are risks that data collection mechanisms aimed at identifying deprivations may miss the most marginalised (for example, use of household surveys will not cover institutionalised children).</p>



## MoRES Concept Analysis (cont’d)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Essential feature of the ToC (cont’d)	3 <b>Situation analysis</b> (profiling) <i>–Focused studies, joint analyses with partners or contributions to common UN assessments</i>	<ul style="list-style-type: none"> <li>• Situation analyses are conducted every five years as a foundation for the development of country programmers of co-operation, with ongoing analyses and updates carried out to support mid-term reviews and national planning milestones.</li> <li>• Current analyses of the situation of children provide an overall understanding of the nature and extent of challenges faced by children and their priority needs. Common elements include a multidimensional perspective on children’s situation and needs; rigorous use of data from multiple sources, and a causal analysis of the economic, social and institutional factors that make up the underlying and immediate causes of children’s situation.</li> <li>• The guidance for situation analysis has been revised to <b>heighten the focus on equity, to identify specific groups that are disadvantaged and excluded.</b></li> <li>• Level 1 aims to verify that the situation analysis accurately identifies the causes and consequences of deprivations – this is to establish the extent to which specific strategic results areas are relevant to the situation in country, because <b>deprivations vary.</b><sup>x</sup></li> <li>• ‘Level 1 analysis is intended to <b>verify the quality of situation analysis</b> in relation to the determinants of deprivation and confirm that strategies to are appropriate to overcoming barriers and bottlenecks and thus achieving the intended results.’<sup>xi</sup></li> <li>• Special data collection efforts may be needed to develop evidence on the most disadvantaged children, who are often hidden from routine administrative systems and household surveys. Attention is given to understanding the impact of existing policies and programmers, and to determining the changes required to fill gaps and guide the prioritisation of action by UNICEF and partners.</li> </ul>	<p><b>Additionally:</b> MoRES L1 is presented as building on current existing SitAn processes so there is an issue around defining precisely what is additional to existing process.</p> <p><b>Collaboration:</b> SitAn designed and conceptualized as a joint exercise with government and other stakeholders – requires buy-in from these external actors.</p> <p><b>Periodicity/timing:</b> Rollout of MoRES in countries where SITAN cycle is not in sync.</p> <p><b>Tools:</b> Issue around clarity of what ‘special data collection’ efforts actually are and how these are resources.</p> <p><b>Level of decentralisation:</b> in decentralised contexts, L1 analysis is required at a decentralised level.</p>



MoRES Concept Analysis (cont'd)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Essential feature of the ToC (cont'd)	<p>4 Determinants Framework (Determinants represent the <b>necessary conditions for outcomes to be achieved</b>, and to which contributions from UNICEF and partners can be identified  The UNICEF <b>determinants framework</b> is designed to identify barriers, bottlenecks and enabling factors that either constrain or advance the achievement of desired outcomes for disadvantaged children)<sup>xii</sup></p>	<ul style="list-style-type: none"> <li>• <b>Structural and social issues</b> need to be tackled to reach the most disadvantaged: DF represents a social determinants approach.</li> <li>• Closes gap between service delivery and enabling environment.</li> <li>• The framework contains <b>ten generic determinants</b> which <b>represent the key conditions required</b> for deprived children and their families to benefit from effective coverage of any given package of services, care practices or behaviours.</li> <li>• The UNICEF framework describes four categories of determinant (enabling environment, supply, demand and quality) which link <b>“upstream”</b> and <b>‘downstream factors’</b>.<sup>xiii</sup></li> <li>• This framework was developed by a cross-sectoral working group, with the aim that <b>one framework could be applied across sectors</b> as the basis for bottleneck analysis.</li> <li>• A bottleneck shows where the difficulty in service provision lies, but it does not pinpoint the factor responsible for the poor coverage. A good knowledge of the organization of services and of the situation of the target population is thus required in order to analyse the constraining factors.<sup>xiv</sup></li> <li>• <b>Data- and evidence-based.</b></li> </ul>	<p><b>Coverage:</b> does the determinants framework adequately cover the actual determinants of effective coverage?</p> <p><b>Applicability:</b> can the determinants framework be applied adequately and comprehensively across sectors and contexts?</p> <p><b>Indicators:</b> Correct identification of bottlenecks is dependent on selection of indicators within determinants and/or gaining consensus on what these indicators should be.</p>



## MoRES Concept Analysis (cont’d)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Essential feature of the ToC (cont’d)	<p>5</p> <p><b>Bottleneck and Barrier Analysis</b></p> <p><i>(To implement the equity-focused approach it is crucial to identify barriers and bottlenecks that constrain the achievement of desired outcomes for disadvantaged children, and subsequently identify evidence-based strategies and innovations to overcome these issues)</i></p>	<ul style="list-style-type: none"> <li>•The development of a system is, in the final analysis, determined by the strength of at least one minimum factor or <b>bottleneck</b>. Consequently, it does not make much sense to enhance the status of other factors as long as overall development is restricted by a particular bottleneck.<sup>xv</sup></li> <li>•The bottleneck analysis assumes that if energy is concentrated on the <b>minimum factor</b>, it can be expected that this alone will have a positive impact on further overall development – and consequently that working and living conditions should be directly improved. The effect of any strategy will be constrained by any remaining bottlenecks that exist on previous determinants.</li> <li>•The bottleneck analysis categorises interventions based on their similarity, delivery mode, and beneficiaries. Only one intervention needs to be monitored per category – this ‘<b>tracer</b>’ can then be used as a proxy to measure the performance and bottlenecks of other interventions that are delivered in a similar way, i.e. they represent the performance of the system.<sup>xvi</sup></li> <li>•Bottlenecks are <b>relative and dynamic</b> – i.e. once one bottleneck has been reduced, another will become the main constraint in the progress towards achievement of outcomes.<sup>xvii</sup></li> <li>•Unless the bottlenecks faced by poor and marginalised people in access to and use of interventions and services are explicitly addressed, inequities will probably worsen as more expensive and elaborate interventions are introduced.<sup>xviii</sup></li> <li>•Bottleneck analysis is therefore a fundamental prerequisite for optimizing implementation of development strategies.</li> <li>•<b>Data- and evidence-based.</b></li> </ul>	<p><b>Information:</b> data sources to identify bottlenecks are required.</p> <p><b>Identification:</b> bottlenecks may be masked by others or not captured by the selected indicators.</p> <p><b>Tracer/priority interventions:</b> to what extent are bottlenecks generalizable?</p> <p><b>Causality:</b> Analysis identifies the bottleneck but not necessarily the causes or solutions.</p> <p><b>Prioritisation:</b> Corrective actions must be prioritized.</p> <p><b>Aggregation:</b> to what extent is it appropriate to aggregate information on bottlenecks across UNICEF?</p>



## MoRES Concept Analysis (cont'd)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Determines the application of the ToC	6 <b>Monitoring of 'intermediate outcomes'</b> <i>(The missing link between routine monitoring of inputs and outputs and low frequency monitoring of high level outcomes/ impact, to provide data on progress and allow course correction as needed)</i>	<ul style="list-style-type: none"> <li>• Surveys provide important evidence on high-level outcomes and impacts, but given the time and resources needed, when the results become available it is often too late to inform adjustments to programme strategies, policies and budgets.</li> <li>• More regular data collection (e.g. using <b>innovative real-time monitoring techniques</b>) can be used to generate data on progress – for example, in addressing bottlenecks – and inform course corrections.</li> <li>• This is a timely, rapid and interactive review that can be undertaken during the implementation of a given UNICEF intervention, to facilitate the assessment of its effectiveness and to ensure that its findings are used as an immediate catalyst for change.</li> <li>• In some sectors, data on intermediate outcomes is being used to build an evidence base around 'what works'.</li> </ul>	<p><b>Periodicity:</b> how often should data collection be done?</p> <p><b>Indicator:</b> how should indicators be selected to capture incremental change in long term processes?</p> <p><b>Tools:</b> are the tools for monitoring intermediate outcomes more suited to specific sectors?</p> <p><b>Tracers:</b> Does monitoring of tracer interventions adequately reflect broader system performance?</p> <p><b>Association of ICTs and real time monitoring (RTM):</b> RTM is often associated with the use of ICTs but there are potential challenges to their use with disadvantaged populations.</p>
	7 Monitoring at appropriate level of decentralisation <i>(A recognition that the need for change may be at national or sub-national level and is specific to context; therefore, in order for planning to be evidence-based, data which relates to the appropriate level of decentralization and disaggregation should be used to inform planning)</i>	<ul style="list-style-type: none"> <li>• Deprivation patterns, needs and bottlenecks are <b>contextually specific</b> and vary.</li> <li>• Decentralised and disaggregated data collection is required to ensure that local level planning is based on local-level needs.</li> <li>• Results of decentralised monitoring can be used as an advocacy tool to promote the use of decentralised decision-making and evidence-based planning – i.e. illustrating that problems and needs are contextually specific.</li> <li>• Although conceived as a reporting mechanism, it can also contribute to empowerment of local populations, and improved sustainability.</li> <li>• <b>Some bottlenecks are best addressed at central level</b> and so monitoring must be targeted at this level.</li> <li>• <b>Partnership</b> (a "key consideration" for MoRES) is key – involving government and other partners, and building on building on and strengthening existing systems.</li> <li>• <b>Data and evidence vital.</b></li> <li>• More frequent monitoring supports <b>accelerated results.</b></li> </ul>	<p><b>Level:</b> at what level is it feasible to conduct monitoring (below district level)?</p> <p><b>Strength of systems:</b> Data collection systems particularly at decentralised level may be weak or non-existent.</p> <p><b>Moving from collection to analysis:</b> is there capacity to use the data collected? Are systems responsive?</p> <p><b>Decision-making:</b> Is there a potential mismatch between decision-making and data access?</p> <p><b>Generalization:</b> Is there a temptation to generalize local, contextually specific information (e.g. Using information about bottlenecks to inform national plans?).</p>



## MoRES Concept Analysis (cont’d)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Determines the application of the ToC (cont’d)	<p>8 Regular adjustments to programming (feedback loop)</p> <p><i>“Course correction” – more regular adjustments to programme interventions and feedback into policies, strategies and plans</i></p> <p><i>Real-time monitoring can be used to inform adjustments at a local level (e.g. changes to local level plans based on current information about needs and progress) and at national level (e.g. ensuring that policies are equity-focused)</i></p>	<ul style="list-style-type: none"> <li>• Bottlenecks are dynamic, and therefore <b>timely adjustments</b> to strategic responses are needed.</li> <li>• More regular adjustments to programming can help to ensure that programming is matched to evidence on <b>current needs and progress towards dealing with bottlenecks</b>.</li> <li>• The intention is to avoid results of a five-year survey finding that outcomes have not improved, through more frequent adjustments to improve programmers – i.e. <b>more responsive programming</b>.</li> <li>• At a local level, adjustments should ensure that programmers, strategies, policies and plans are based on current and contextually specific information.</li> <li>• At the national level, better evidence is generated to feed back into policies and budgets and ensure that they are <b>equity-focused</b>.</li> <li>• <b>Results-based management and robust evidence key.</b></li> </ul>	<p><b>Buy-in:</b> adjustments to programming require commitment from multiple actors.</p> <p><b>Gaining consensus:</b> Corrective actions need to be agreed.</p> <p><b>Resources:</b> Who funds corrective actions?</p> <p><b>Periodicity:</b> How often is it feasible/helpful to make adjustments?</p> <p><b>Timing:</b> Feedback from regional level RTM may be out of sync with national level planning and resourcing decisions.</p>



## MoRES Concept Analysis (cont'd)

	Concept (Definition)	Underpinnings	Conceptual Issues/Challenges
Determines the application of the ToC (cont'd)	<p>9</p> <p><b>National ownership and scale up</b></p> <p><i>[Gaining buy-in of government (and partners?), in order that MoRES is embedded into national systems]</i></p>	<ul style="list-style-type: none"> <li>MoRES emphasizes <b>strengthening the capacity of government and partners</b> to regularly monitor intermediate outcomes (between outputs and higher level outcomes/ impact) to enable more effective programme implementation and timely course corrections in plans and strategies at all levels.<sup>xix</sup></li> <li><b>Partnership</b> is listed as one of the key considerations for the application of MoRES.</li> <li>It is recognised that for MoRES to be <b>sustainable</b>, there needs to be involvement of government and partners and that this may require investment in the initial phase to gain engagement and buy-in.<sup>xx</sup></li> </ul>	<p><b>Other systems:</b> Development partners and governments have alternative approaches, e.g. MAF – MoRES may be seen as just another system.</p> <p><b>Capacity:</b> It was highlighted that national capacity is often very low; therefore a lot of support and resources from UNICEF may be needed to support scale-up.</p> <p><b>Prioritization of equity:</b> Not all countries may see equity as a priority.</p> <p><b>“MoRES” or the principles:</b> To what extent is the intention for there to be ownership of MoRES, vs. ownership of MoRES type principles? Not all countries are selling it the same way.</p> <p><b>Robustness of the evidence base:</b> MoRES is considered by some as something “untested” and therefore may be hard to gain buy-in<sup>xxi</sup>.</p> <p><b>Turnover:</b> Turnover of government staff may make engagement/gaining buy-in a difficult/ lengthy process and therefore inhibit ownership.</p>
Relates to coherence of ToC	<p>10</p> <p><b>MoRES as a system</b></p> <p><i>(four level approach articulates the concepts and their application as a system with multiple entry points)</i></p>	<ul style="list-style-type: none"> <li>MoRES overall has previously been defined as <b>“a conceptual framework for effective planning, programming, implementation, monitoring and managing for results to achieve desired outcomes for the most disadvantaged children.”</b><sup>xxii</sup> The most recent briefing note references MoRES as “intended to enhance and sharpen country programmes of cooperation for accelerated results for the most disadvantaged children.”<sup>xxiii</sup></li> <li><b>The levels of MoRES are closely linked</b> – “each level provides information for monitoring at the next level and at the same time assesses/ validates actions of the preceding level to allow for timely adjustments and refinements in programme strategies.”<sup>xxiv</sup></li> <li><b>Flexibility</b>, which incorporates entry point, is listed as one of the key considerations for MoRES: “There cannot be a one size fits all rule for the application of MoRES. Entry points for rolling out MoRES have been variable and have often depended on timing of key national, sectoral, agency specific and other relevant processes, allowing for sufficient flexibility and tailoring to different country contexts and different technical programs.”<sup>xxv</sup></li> </ul>	<p><b>Clarity:</b> The use of different entry points seems to have contributed to the confusion within UNICEF about what MoRES looks like at country level.</p> <p><b>Effectiveness:</b> If levels are closely interlinked then to what extent is MoRES still effective if only some levels are implemented (e.g. L3).</p> <p><b>Mapping onto the programme cycle:</b> Does articulating MoRES as a system detract from consideration of how it should be integrated to strengthen the existing programme cycle? i.e. it is perceived as something separate.</p>



## ENDNOTES FOR MoRES CONCEPT ANALYSIS

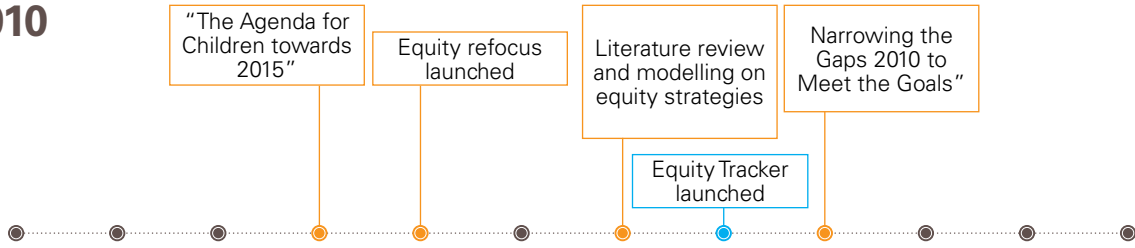
- <sup>i</sup> UNICEF: *Re-focusing on Equity (2010): Questions and Answers; Strategic Plan (2014-17)*
- <sup>ii</sup> Carrera et al., The comparative cost-effectiveness of an equity-focused approach to child survival, health, and nutrition: a modelling approach. *The Lancet*; 380: 1341-1351
- <sup>iii</sup> UNICEF. 2010. Progress for children: achieving the MDGs with equity (No. 9). New York
- <sup>iv</sup> UNICEF. 2010. Narrowing the Gaps to Meet the Goals
- <sup>v</sup> Technical Guidance: Monitoring Results for Equity System (MoRES), Technical guidance on Equity focused Decentralized Monitoring of Bottlenecks (Level Three Monitoring), February 2012
- <sup>vi</sup> Concept Note: Monitoring Results for Equity Systems (MoRES) and Country Programming, May 2012
- <sup>vii</sup> Technical Guidance: Monitoring Results for Equity System (MoRES), Technical guidance on Equity focused Decentralized Monitoring of Bottlenecks (Level Three Monitoring), February 2012
- <sup>viii</sup> UNICEF. 2012. Accelerating Results for Deprived Children through Level Three Monitoring, Work-stream One Country Report
- <sup>ix</sup> Concept Note: Monitoring Results for Equity Systems (MoRES) and Country Programming, May 2012
- <sup>x</sup> UNICEF. 2011. Monitoring the Equity Approach, September 2011
- <sup>xi</sup> Monitoring Results for Equity System (MoRES) and Country Programming Draft 3 May 2012
- <sup>xii</sup> Briefing Note, Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES), February 2013
- <sup>xiii</sup> UNICEF. 2012. Accelerating Results for Deprived Children through Level Three Monitoring, Work-stream One Country Report
- <sup>xiv</sup> Tanahashi, T. 1978. Health service coverage and its evaluation. *Bull World Health Organ.* 1978; 56(2): 295-303
- <sup>xv</sup> Chopra et al., 2012. Strategies to improve health coverage and narrow the equity gap in child survival, health, and nutrition. *The Lancet*; 380: 1331-1340
- <sup>xvi</sup> Knippenberg et al. Marginal Budgeting for Bottlenecks: A Tool for Performance Based Planning of Health and Nutrition Services for Achieving MDGs
- <sup>xvii</sup> Knippenberg et al. Marginal Budgeting for Bottlenecks: A Tool for Performance Based Planning of Health and Nutrition Services for Achieving MDGs
- <sup>xviii</sup> Chopra et al. 2012. Strategies to improve health coverage and narrow the equity gap in child survival, health, and nutrition. *The Lancet*; 380: 1331-1340
- <sup>xix</sup> Briefing Note, Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES), February 2013
- <sup>xx</sup> Briefing Note, Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES), February 2013
- <sup>xxi</sup> Flagged by some UNICEF HQ staff who questioned whether it is right to bring an effectively untested model to countries; also flagged at country level that many governments want to see evidence that it works (or examples where it has worked in other settings) before they will use MoRES
- <sup>xxii</sup> Working Document for Internal UNICEF Colleagues: Monitoring of Results for Equity Systems (MoRES), May 25 2012
- <sup>xxiii</sup> Briefing Note, Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES), February 2013
- <sup>xxiv</sup> Working Document for Internal UNICEF Colleagues: Monitoring of Results for Equity Systems (MoRES), May 25 2012
- <sup>xxv</sup> Briefing Note, Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES), February 2013



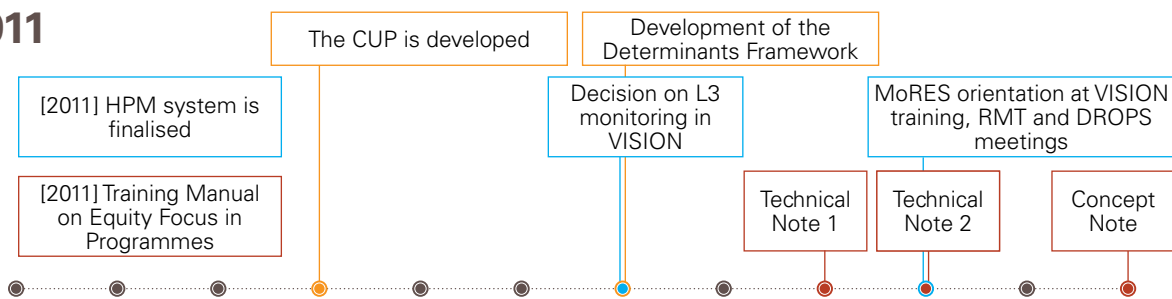
# ANNEX VI

## TIMELINE OF EVENTS IN THE ROLL OUT OF MoRES

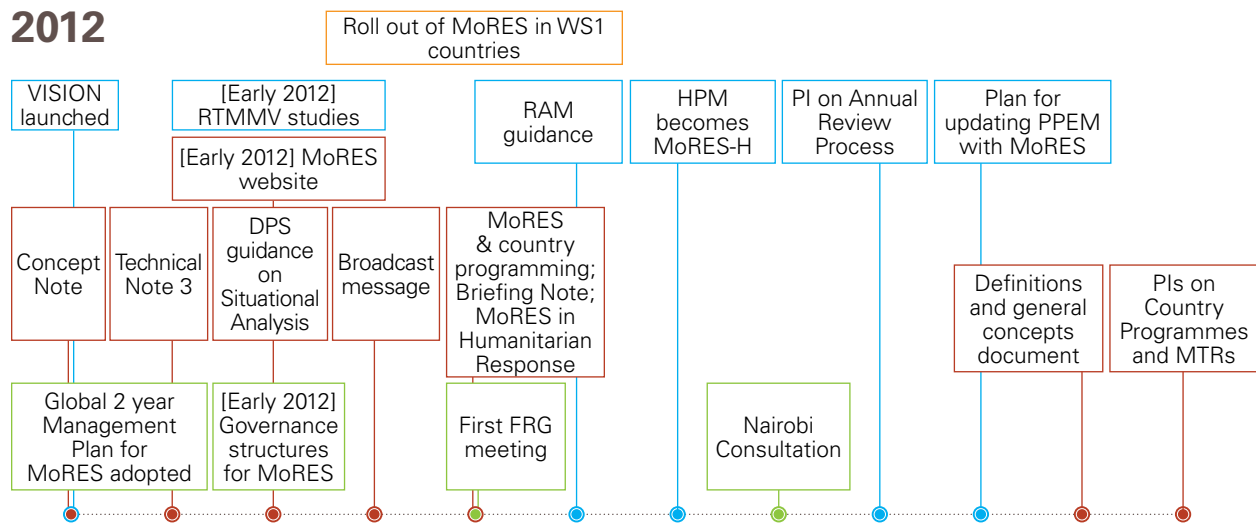
### 2010



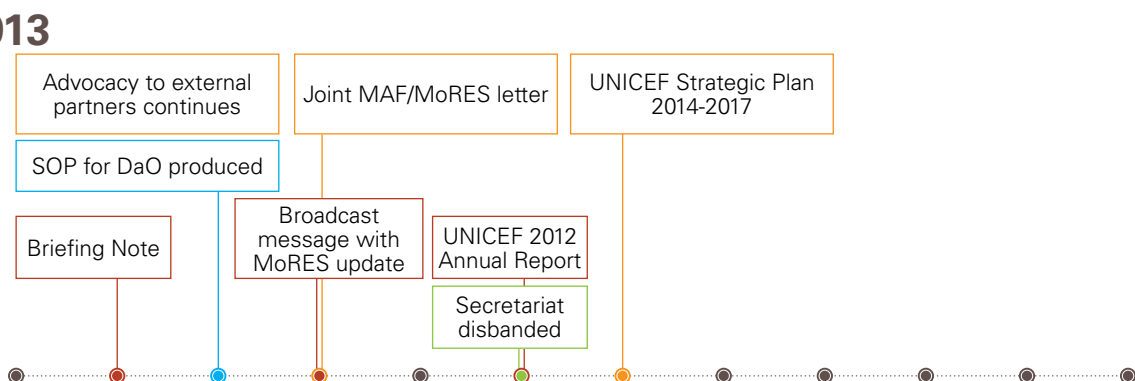
### 2011



### 2012



### 2013





### Timeline of Events in the Roll Out of MoRES (cont'd)

2010	April				<b>Briefing presentation to UNICEF Executive Director on "The Agenda for Children towards 2015"</b>	Presentation on overview of situation for children including trends in mortality and other indicators, effective interventions and gaps, programme strategies and leadership areas (such as evidence-based advocacy, leveraging, convening, cooperating and leading).
2010	May				<b>Equity refocus is launched</b>	
2010	July – August				<b>Performance of a literature review and study modelling cost-effectiveness of pro-equity strategies</b>	Literature review; modelling cost-effectiveness of pro-equity strategies. The latter was later published by the Lancet in 2012, as part of the Equity in Child Survival, Health, and Nutrition series of two papers (Carrera et al., 2012). A mathematical-modelling approach was used to compare the cost-effectiveness (in terms of child deaths and stunting events averted) between an equity-focused approach (prioritising the most deprived communities) and a mainstream approach (similar to standard strategies). The results suggested that the equity approach could lead to sharper drops in mortality and stunting and be more cost-effective.
2010	August				<b>Launch of the Equity Tracker</b>	This was an online tool that could "monitor and track organizational shifts and refinements in pursuing a more equity-focused approach to reach disadvantaged children" and collate information on what UNICEF was doing to ensure that the most disadvantaged children were being reached.
2010	September				<b>"Narrowing the Gaps to Meet the Goals" is published</b>	The report concludes that a refocus on equity is right in practice as well as in principle and that an "equity-focused approach has the potential to accelerate progress towards the health MDGs for children at national and local levels, and to save many more lives for resources expended than the current approaches." A successful period of advocacy with donors and the Executive Board follows.
2011	April – June				<b>The CUP is developed</b>	Development of the monitoring 'CUP' which focused on level 3 monitoring – but defines the four levels – in order to accelerate results to reach the most deprived children.
2011	July				<b>Decision to report level 3 monitoring in VISION</b>	The decision is taken to report level 3 monitoring results in VISION – the monitoring and reporting platform that was being rolled out to provide an integrated performance and results reporting at country as well as the global programme level.

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## Timeline of Events in the Roll Out of MoRES (cont'd)

2011	July – September				<b>Development of the determinants framework</b>	<p>During summer 2011 there was a period of inter-divisional/sectoral work to develop determinants framework for level 3 monitoring, example indicators and means of verification in VISION. A group of 15-20 people from various sections of UNICEF were brought together to sit and develop the determinants framework.</p>
2011:	September				<b>Technical Note 1 – “Monitoring the Equity Approach”</b>	<p>This is a 9 page document detailing the monitoring framework for the equity approach, with particular reference to the link to Strategic Results Areas:</p> <ul style="list-style-type: none"> <li>• Level 1 “All Country Offices review the equity focus of the situation analysis, determine which SRAs are relevant to the country context, identify (or verify) the critical bottlenecks and confirm that programme strategies and policies address those bottlenecks.”</li> <li>• Level 2: Where a specific SRA is relevant to and included in the country programme, the CO monitors UNICEF’s inputs and outputs.</li> <li>• Level 3: As programmers are implemented, CO should work with partners to assess, analyses and address bottlenecks to universal coverage, and estimate progress towards outcomes in deprived areas or groups.</li> <li>• Level 4: Once the CO demonstrates progress in reducing bottlenecks, the CO validates the achievement of outcomes and estimates progress towards the SRAs.</li> </ul>
2011	October				<b>Technical Note 2 – “Level Three monitoring of Strategic Result Areas (SRAs) explaining the concept and future work plan”</b>	<p>This technical note is a 12 page document providing an overview of the steps in level 3 monitoring, including an introduction to the interaction with VISION and dashboards.</p>
2011	October –December				<b>MoRES orientation at VISION training, Regional Management Team meetings, and Deputy Representative and Operations Chiefs (DROPs) meetings</b>	

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### Timeline of Events in the Roll Out of MoRES (cont'd)

2011	December				<p><b>Concept Note on "Assessing Social and Cultural Factors and Bottlenecks Related to UNICEF's Strategic Result Areas Principles, Methods and Tools to Promote Equity (DRAFT)"</b></p> <p>The CUP is described and there is provision of a conceptual rationale, and key principles in support of planning, monitoring, and evaluation at UNICEF country offices addressing SRAs, to increase our understanding of social bottlenecks and barriers to achieving our programme goals. The document also provides information on mixed research methods. The emphasis is on a new approach of "level 3 monitoring."</p>
2011					<p><b>"Training Manual on the Equity Focus in Programmes" is published</b></p> <p>This containing modules on "understanding equity"; an "equity-focused situation analysis"; "equity-focused programming strategies and interventions"; "advocacy, communication and partnerships for equity"; and "equity-focused monitoring and evaluation." This introduces the idea of looking at different levels and references "The Cup" as a recently developed approach which focuses on "monitoring strategic results areas (SRAs) within the framework of Country Programmes of Cooperation (CPC)!"</p>
2011:					<p><b>Humanitarian Performance Monitoring system is finalized</b></p> <p>HPM was piloted in Pakistan and Haiti and then finalized in 2011.</p>
2012	January				<p><b>VISION is launched</b></p>
2012	January				<p><b>Draft Concept Note: UNICEF Field Implementation for Levels 1 and 3 Monitoring</b></p> <p>3 basic principles are referred to: the equity (re)focus, management/programming for results, and a focus on barriers and bottlenecks. Reference is made to SRAs, CUP monitoring and VISION reporting as complementary conceptual approaches to sharpen "management for equity results" at all levels of the organization.</p>
2012	January – February				<p><b>Global 2 year Management plan for MoRES adopted</b></p> <p>The plan had the following articulated goals: strengthen programming for equity, mainstream MoRES across all areas of UNICEF programming – HQ, ROs and COs within two years, clarify the process for implementation, aggregate, track and report UNICEF's global progress and mobilize partners in support of MoRES.</p>

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## Timeline of Events in the Roll Out of MoRES (cont'd)

2012	Early				<p><b>Governance structures for MoRES established – Steering Committee, Coordination and Technical Team (CTT), Field Reference Group (FRG) and Secretariat</b></p> <p>The Steering Committee's role was to:</p> <ul style="list-style-type: none"> <li>• Provide strategic direction and general oversight;</li> <li>• Clear and issue relevant tools, guidance and reports;</li> <li>• Approve work plans and budgets and monitor progress.</li> </ul> <p>Under the strategic direction of the Steering Committee, the CTT's remit was to:</p> <ul style="list-style-type: none"> <li>• Review and respond to requests for CO support;</li> <li>• Identify and deploy cross-sectoral teams to assist COs/ROs;</li> <li>• Monitor the quality of technical assistance provided to COs/ROs;</li> <li>• Prioritize and monitor work streams based on CPDs, CPAPs, MTRs;</li> <li>• Recruit and manage consultants for specific areas of work;</li> <li>• Review travel plans and budgets.</li> </ul> <p>The role of the FRG was to:</p> <ul style="list-style-type: none"> <li>• Review technical guidance and tools drafted by the Coordination and Technical Team;</li> <li>• Support regular organization-wide communication on the monitoring and evaluation framework, including progress on the global roll-out, updates on new initiatives, lessons learned, etc.;</li> <li>• Provide feedback on the quality and effectiveness of the technical assistance provided to COs/ROs.</li> </ul> <p>The Secretariat's function was to:</p> <ul style="list-style-type: none"> <li>• Collate and disseminate data gathered at country level;</li> <li>• Present analysis to the Coordination and Technical Team, Reference Group and Steering Committee;</li> <li>• Contribute data and analysis to corporate progress reports;</li> <li>• Log and track requests for CO support;</li> <li>• Coordinate meetings of the Reference Group and the Steering Committee;</li> <li>• Monitor work processes against agreed objectives and time-frames;</li> <li>• Support global communications on MoRES.</li> </ul>
2012	Early				<p><b>MoRES website established on the UNICEF intranet</b></p> <p>This was developed to include guidance and briefing notes, presentations, tools and documentation of lessons learnt.</p>
2012	February				<p><b>Technical Note 3 – Technical guidance on Equity focused Decentralized Monitoring of Bottlenecks (level 3 monitoring)</b></p> <p>This was a 35 page document on level 3 monitoring, outlining the context, purpose, framework, key concepts, general steps, support structures and practical considerations for the implementation of Equity focused Decentralized Monitoring of Bottlenecks.</p>

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 ■ Guidance/Communication 
 ■ Systems/Process Integration



### Timeline of Events in the Roll Out of MoRES (cont'd)

2012	Early				<b>Real Time Monitoring of the Most Vulnerable (RTMMV) studies</b>	Case studies are conducted in Bangladesh, Senegal, Uganda and 4 other non-workstream 1 countries.
2012	March				<b>DPS guidance is released on conducting a rights-based, equity-focused situational analysis</b>	No reference is made to MoRES in the document.
2012	March – June				<b>Roll out of MoRES in workstream 1 countries</b>	UNICEF staff (various teams) went on country missions to introduce MoRES and roll it out in country. Evidence from interviews suggests that the methodology for these missions varied, with different teams using different resources. There was also general consensus from the interviews that MoRES was an evolving concept at this point – things were very dynamic. Workstream 1 countries were WCARO: Benin, Ghana, DRC, Niger, Senegal, Nigeria, Togo; MENA: Morocco, Egypt, Lebanon; EAPRO: Philippines, Laos, Indonesia; ROSA: Bangladesh, Pakistan, Bhutan, Nepal; CEECIS: Georgia, Moldova; ESARO: Uganda, Rwanda, South Africa, Zimbabwe, Mozambique; TACRO: Nicaragua, Peru, and Guatemala. Note that there are various reports on how these countries were selected – documentation states that they volunteered, but some countries have reported that they were “informed.”
2012	April				<b>Broadcast message</b>	This provided an update on: <ul style="list-style-type: none"> <li>• Composition of the various MoRES Support Teams: Steering Committee; Coordination and Technical Team and Field Reference Group.</li> <li>• MoRES Work Streams: 1.) Assisting in the roll-out in first wave Country Offices; 2) Supporting the roll-out of MoRES in all UNICEF Country Offices and 3) Mobilizing partner participation for MoRES.</li> <li>• Country Level Support: introducing the MoRES Secretariat as the coordinating body.</li> <li>• MoRES website.</li> </ul>
2012	May				<b>First meeting of Field Reference Group.</b>	
2012	May				<b>“Monitoring Results for Equity System (MoRES) and Country Programming” document drafted</b>	This aimed to introduce MoRES in the context of UNICEF's mission and country programming, focusing on “the focus of MoRES on achieving results for the most disadvantaged children; its linkages and value added to UNICEF programming, management and advocacy, and the key steps to roll out MoRES at country level” as well as aiming to be a one-stop overview to facilitate a basic understanding of MoRES and the identification of areas for further exploration and learning.”

■ Concept/Strategy
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 ■ Systems/Process Integration



## Timeline of Events in the Roll Out of MoRES (cont'd)

2012	May				<p><b>Briefing Note Working Document for Internal UNICEF Colleagues on Monitoring of Results for Equity Systems (MoRES)</b></p> <p>This report contained descriptions of the levels of MoRES, and guiding principles of ownership, applicability, partnership, entry points, and going to scale.</p>
2012	May				<p><b>Monitoring Results for Equity in Humanitarian Response document circulated</b></p> <p>1 page document sent to country offices, detailing what monitoring should achieve and what kind of systems need to be in place.</p>
2012	June				<p><b>Programme Guidance on the Results Assessment Module of the VISION Performance Management System</b></p> <p>This incorporates a section on the use of RAM in relation to MoRES – i.e. to report on the status of MoRES determinants and country-specific indicators.</p>
2012	July				<p><b>HPM becomes MoRES in Humanitarian Situations</b></p> <p>Recognition that MoRES itself was not particularly appropriate to humanitarian settings – therefore decision that HPM could be considered “MoRES in Humanitarian Situations”. Humanitarian Performance Monitoring Toolkit is and states that HPM is “the level 3 monitoring approach applicable for ongoing humanitarian situations adapted to reflect the narrowed scope of priority needs addressed in programming as well as the frequency of and constraints in monitoring in such situations” and that HPM “is an extension of UNICEF Monitoring of Results for Equity Systems which is applicable in all country contexts.”</p>
2012	August				<p><b>Nairobi Consultation meeting</b></p> <p>A consultation meeting was held in Nairobi to synthesize lessons learned from work-stream one countries and to discuss the role of MoRES in bringing together programmes, policies, partnerships and innovations. The meeting was attended by teams from all Regional Offices, twenty of the work-stream one countries, and Headquarters. Progress from workstream one countries was reviewed and shared and there were discussion on how to use these experiences to inform on concrete ways to integrate or mainstream MoRES into all UNICEF Country Offices. The key action points/next steps from the meeting were around leveraging with partners and stakeholders (for example increasing engagement with government and partners and integrating MoRES into strategic programme partnership frameworks); integrating MoRES across UNICEF planning, monitoring and evaluation process (for example new country programmes, annual reviews etc. and the integration of MoRES in humanitarian contexts); staff technical capacity, role and accountabilities (for example through training of sector regional advisors, or initiation of peer support systems); knowledge management (for example finalisation and issue of a toolkit).</p>

■ Concept/Strategy 
 ■ Governance/Management 
 ■ Guidance/Communication 
 ■ Systems/Process Integration



### Timeline of Events in the Roll Out of MoRES (cont'd)

2012	Late				<p><b>Synthesis of lessons from workstream 1 countries and development of regional plans for mainstreaming</b></p> <p>Accelerating Results for Deprived Children through Level 3 monitoring Workstream One Country Report is produced – this looked at the progress made (for example in implementation of level 3 monitoring), lessons learned from workstream 1 countries, and consider the way forward for MoRES in terms of mainstreaming MoRES concepts and principles in UNICEF, mainstreaming level 3 monitoring design and implementation and going to scale with level 3 monitoring. During late 2012, regional offices also made for mainstreaming MoRES in their regions.</p>
2012	September				<p><b>Programme Instruction Document on 2012 Annual Review and Reporting Process is sent to Representatives</b></p> <p>There is no specific reference to MoRES, but the purposes of the ARs are highlighted: “taking stock of new information on the situation of children and women and reviewing any resulting implications for the Country Programme; assessing progress towards planned programme results, particularly for disadvantaged children; identifying constraints, challenges and opportunities; incorporating the conclusions in the design or revision of the work plans and the AMP for 2013.”</p>
2012	October				<p><b>Plan made for updating PPEM with MoRES related material</b></p> <p>This included a one-day facilitated workshop, with the objectives to:</p> <ul style="list-style-type: none"> <li>• Arrive at a common understanding of key concepts and shifts in programming resulting from the refocus on Equity and piloting of MoRES.</li> <li>• Agree on the broad outline of revisions to be made to the Programme Policy and Procedures electronic Manual and PPP training package drawing upon experience from workstream 1 countries.</li> </ul>
2012	October				<p><b>Document produced on “Definitions and General Concepts of MoRES</b></p> <p>A document is produced with definitions and general concepts of MoRES – three principles of the equity refocus, management for results and bottleneck and barrier analysis, as well as a description of the levels of MoRES. It is not clear how/if this was disseminated.</p>
2012-2013	October – March				<p><b>Advocacy to external partners</b></p> <p>There was a move to sell MoRES externally – staff from UNICEF Headquarters visited UNFPA, UNDP and the World Food Programme.</p>
2012	December				<p><b>Programme Instruction document on the development and review of Country Programmes</b></p> <p>Programme Instruction document is disseminated to Regional Directors, Deputy Regional Directors, Representatives and Deputy Representatives – the document gives updated guidance on the process and documentation related to the development and review of Country Programmes in 2013, in particular highlighting changes as a result of the equity refocus, the adoption of MoRES, and the findings of the evaluation of the HRBAP conducted in 2012.</p>
2012	December				<p><b>Programme Instruction document on Mid-Term Reviews</b></p> <p>Programme Instruction document is sent to Regional Directors and Deputy Regional Directors, Representatives/ Deputy Representatives, Regional Chiefs of Planning and Regional Chiefs of Monitoring and Evaluation. Guidance was updated to align with changes to programme policies and procedures (including the revised results structure), the re-focus on equity, and to reflect key elements of MoRES.</p>

■ Concept/Strategy 
 ■ Governance/Management 
 ■ Guidance/Communication 
 ■ Systems/Process Integration



## Timeline of Events in the Roll Out of MoRES (cont'd)

2013	February				<p><b>Briefing Note on “Enhanced Programming and Results through Monitoring Results for Equity Systems (MoRES)”</b></p> <p>The 3-page document describes:</p> <ul style="list-style-type: none"> <li>• <i>What is MoRES?</i> For example as a system that “builds on the existing human rights based approach to programming and is intended to enhance and sharpen country programmers of cooperation for accelerated results for the most disadvantaged children.</li> <li>• <i>MoRES within UNICEF’s programme cycle?</i> A description of the levels of MoRES in terms of 1.) situation analysis, strategic planning and programme development; 2.) monitoring agency specific programme implementation; 3.) monitoring agency specific programme implementation; 4.) monitoring final outcomes and impact.</li> <li>• <i>Key considerations for application of MoRES?</i> – Flexibility, partnership and innovation.</li> </ul> <p>There is some reference to the use of MoRES in humanitarian situations.</p>
2013	March				<p><b>Standard Operating Procedures for Delivering as One are produced</b></p>
2013	April				<p><b>Broadcast message with an update on MoRES</b></p> <p>The key messages are that:</p> <ul style="list-style-type: none"> <li>• Progress is underway to integrate MoRES into guidance, having already been integrated into the programme instruction on (PROS) for Annual Reviews, Mid-Term Reviews and new Country Programme Document development.</li> <li>• Field Reference Group no longer being convened, so Deputy Regional Directors will coordinate additional regional and country inputs as needed.</li> <li>• CTT now includes the Deputy Director of GMA, allowing CTT to handle Workstream Three functions on partnerships.</li> <li>• Director of DPS is now chair of CTT, co-chaired by the Director of PD.</li> <li>• Country Office requests for technical support should generally be handled through ROs – specific HQ focal points are listed as contacts.</li> <li>• The MoRES Core Team are re-integrated into PD, but providing specific support to Democratic Republic of the Congo, Nigeria, Bangladesh, Ethiopia and India.</li> </ul>

■ Concept/Strategy 
 ■ Governance/Management 
 ■ Guidance/Communication 
 ■ Systems/Process Integration



### Timeline of Events in the Roll Out of MoRES (cont'd)

2013	April				<p><b>Joint letter on using UNDG's MDG Acceleration Framework (MAF) and/or UNICEF's Monitoring Results for Equity Systems" (MoRES)</b></p> <p>A letter is sent from UNICEF, UNDP and UNFPA to countries that were implementing Delivering as One, and using MoRES and/or MAF (Mozambique, Pakistan, Rwanda, Bhutan, Malawi, Benin, Kenya, Laos, Uganda, Zambia, Moldova, Ethiopia and Indonesia). Standard Operating Procedures for DaO were disseminated, and the countries were asked to identify ways for their country teams to improve the way in which results and monitoring were supported and to review of the experience of implementing MAF or MoRES.</p>
2013	June				<p><b>Secretariat disbanded</b></p>
2013	June				<p><b>UNICEF 2012 Annual Report published</b></p> <p>UNICEF's 2012 Annual Report was released, including information on progress in MoRES. It is reported that in 2012, MoRES was implemented in over 30 countries across using different entry points, depending on the national context. Three factors are identified as being important for success: broad partnerships involving a range of actors (e.g. governments, multilateral and bilateral organizations and civil society), the use of innovative technologies for monitoring and programme adjustments; and the tailoring of actions to country contexts and technical programmers.</p>
2013	July				<p><b>UNICEF Strategic Plan, 2014-2017 drafted – this incorporates MoRES</b></p> <p>The UNICEF Strategic Plan, 2014-2017, drafted – equity is a key focus. It is also reported that "UNICEF and the other funds and programmes have taken steps towards converging strategic planning through actions that include a greater focus on strengthening real-time monitoring systems of government and partners, as outlined in the Monitoring Results for Equity System (MoRES) approach, with particular focus on barriers and bottlenecks faced by the most disadvantaged children and families".</p>

■ Concept/Strategy 
 ■ Governance/Management 
 ■ Guidance/Communication 
 ■ Systems/Process Integration



## ANNEX VII

# EVALUABILITY ASSESSMENT OF MoRES

### OBJECTIVES OF EVALUABILITY ASSESSMENT (EA)

The OECD DAC definition is widely quoted and used to define the objective of an EA as “...an assessment of the extent to which an activity or project can be evaluated in a reliable and credible fashion.”<sup>27</sup> An EA should examine evaluability: (a) in principle, given the nature of the project design, and (b) in practice, given data availability to carry out an evaluation and the systems able to provide it. In addition, it should examine the likely usefulness of an evaluation. Results of an EA should have consequences: for the design of an evaluation, the design of an M&E framework, or the design of the project itself.<sup>28</sup> The following chapter is divided in to two parts. Part 1 provides a brief overview of the main findings of our EA of MoRES looking at three main evaluability areas of enquiry and part 2 provides guidance on what an evaluation design for a future evaluation of MoRES could look like. This latter section provides a basic evaluation framework (based on the results based ToC introduced in chapter 3), highlights where possible data gaps exist and suggests possible evaluation design options for a future evaluation.

### DISCUSSION OF FINDINGS FROM THE EA

The emerging consensus around how EAs should be conducted is that there are essentially three main areas of ‘evaluability enquiry’ that need to be considered when forming a judgment on how ‘evaluable’ a particular intervention is.<sup>29</sup> The first area of enquiry relates to the

overall *clarity of intervention design*. The focus here is on the level to which an intervention has a clear and well-articulated design and the extent to which this design is plausible, valid and ultimately testable. Critically, this first area of enquiry also requires an assessment of the degree to which the design is consistently presented and is generally agreed upon by stakeholders. The second area of enquiry relates to the extent to which *information is available to inform an evaluation*. This includes both an assessment of the data availability pertaining to the intervention itself (for example, the extent to which it is possible to collect relevant data to generate indicators describing the planned results pathway) but also the extent to which evaluative data such as baseline/endline data or possible data on control groups is available. The final area of evaluability enquiry focuses on the extent to which the institution hosting the evaluation is ‘*ready for an evaluation to be conducted*’. Here the focus is both on practical issues relating to timing and resourcing of the evaluation and broader issues relating to the specific demands, requirements and expectations of different stakeholders (both within and outside the institution) for the evaluation. These three evaluability areas of enquiry are explored below.

#### 1. Clarity of intervention design

Typically the focus of this area of an EA is to look at the overall intervention design and draw informed conclusion on the strength and robustness of a) the underlying conceptual logic of the intervention, b) the theory of change, and c) the results framework that describe the intervention. This analysis has, to a large part,

<sup>27</sup> Office of Evaluation and Oversight. 2000. “Working Paper: Evaluability Assessment in Project Preparation.” IADB.

<sup>28</sup> Davies R, 2013, *Planning Evaluability Assessments: A Synthesis of the Literature with Recommendations*, DFID working paper No. 40, Oct 2013, DFID.

<sup>29</sup> Ibid.



been carried out during the shaping of chapter 3 of this report. In this chapter we presented a *post hoc* analysis of the conceptual logic and drivers underlying MoRES and develop a detailed theory of change on the basis of the core concepts highlighted (Annex X). In addition we also presented a simplified overarching theory of change based on the results chain for MoRES – articulating how the four ‘levels’ of MoRES contribute to the overall objective of an increased rate of reduction in equity at country level (figure 6) .

On the basis of this analytical work it is possible to conclude that the overall intervention design for MoRES is now sufficiently clear to say that that this particular evaluability ‘bar’ has been met. Indeed, this has to some extent been tested through the implementation of in-depth country case studies (as detailed in chapter 4). For these case studies it was possible to apply the analytical framework to frame emergent evaluative conclusions about the performance of MoRES. However, it is important to highlight that the intervention design that was presented in chapter 3 is a product of the external formative evaluation process and has *not yet been fully agreed upon by all key stakeholders in UNICEF*. Indeed it is likely there will be ongoing debate on this design – there still exists a very high level of variation in the way MoRES is described and defined amongst UNICEF staff and as such there is currently not a general consensus on the overall intervention design for MoRES. Similarly, the country case studies also highlight the fact that MoRES has been interpreted and implemented in – sometimes radically – different ways in different contexts. This variation is also something that complicates the evaluability of MoRES.<sup>30</sup>

A final concern that relates to this area of evaluability enquiry is the very high level of complexity of MoRES as an intervention. As demonstrated in chapter 3 – and in particular in the detailed ToC presented in Annex X – there are multiple interactions between the different concepts and components of MoRES and there are a large number of – often very significant – assumptions that need to be met in order for key change processes to occur. These factors serve to significantly complicate attribution of causes as well as the identification of overall effects – and makes the task of robustly evaluating the overall impact of MoRES very challenging.

**The conclusion of the evaluation team in terms of the level of confidence in the future evaluability of MoRES in relation to the intervention design is low to medium.**

While this report has attempted to clarify the MoRES design (including providing a detailed ToC), there is not yet an organization wide consensus. In addition, the intervention design is complex and multifaceted with many critical assumptions and linkages with external processes. This high level of complexity inherent in the entire MoRES approach means that there will always be significant concerns in terms of the degree to which the design can be fully evaluated.

Evaluability in this area can be increased by a) putting in place clear processes to ensure stakeholder validation of the MoRES intervention design (as, for example, articulated in chapter 3) and b) further elaborating and unpacking the critical stages in the MoRES ToC with particular emphasis on identifying key assumptions and contextual requirements for MoRES to be successful.

<sup>30</sup> Indeed as discussed in Chapter 5 one of the strategies for mainstreaming MoRES has been to increase the emphasis of flexibility in the way UNICEF COs interpret and implement MoRES. This might undermine evaluability of MoRES still further in the future.



## 2. Level to which information is available to inform an evaluation

The second area of evaluability enquiry is focused on the degree to which key information is available to inform the evaluation. A core aspect of this relates to data availability. To determine data needs it is important to know what indicators along the results chain would need to be measured as well as the key assumptions upon which results depend. A first suggestion of what these indicators might be is presented below in table 10 against the key evaluation questions they might help answer.

In addition to assessing the level of information relating to the overall results pathway for MoRES, it is also important to look at the level to which other 'evaluative data' is – or could be – available. For example, the degree to which comprehensive baseline and endline data can be generated is an important factor in defining the level of evaluability of the intervention. Similarly, it is also important to look at the degree to which comparison or control data can be generated. In relation to the former, country level case studies suggests that it will be broadly possible to generate solid before and after data sets at the country level that will function to inform an evaluation exercise. However, as with the indicators on the results pathway, there are some key indicators that will need a high level of investment to be able to confidently report on and there may be particular problems with generating baseline data retrospectively (examples include cost ratios for equity impacts and the extent to which UNICEF and national partners accept the validity of an equity-focused approach compared to other approaches). In terms of the control groups there is very limited possibility of identifying appropriate controls through which to evaluate MoRES. One of the key overall objectives of

MoRES is to influence national level processes so as to effect reductions in inequity levels at the country level. As such identifying control populations *within* a country does not make sense – this is a classic example of a 'small n' evaluation challenge (n = 1).<sup>31</sup> The option of directly comparing performance between, for example, 'MoRES' countries and 'non MoRES' countries is worth exploring (see below) but there will still not be sufficient 'units of assignment' to attain the statistical power necessary to use experimental or quasi-experimental design.<sup>32</sup>

**The conclusion in terms of the level of confidence in the future evaluability of MoRES in relation to the data availability is low to medium.**

There is significant information available to support an evaluation of MoRES but a number of major gaps remain. The nature of the intervention means that experimental or quasi-experimental evaluation designs are unlikely so there is a far greater need to generate information on process and the changes in outcomes of interest, along with other plausible external explanations for observed changes in these outcomes on a case study basis.

The level of evaluability can be increased by putting in place robust data collection processes to allow measurement against key indicators identified. This will also be important in relation to generating data on assumptions and contextual/influencing factors. The fact that there is no clear way in which control groups can be identified means that design options for an evaluation are significantly constrained.

<sup>31</sup> White, Philips. 2012, *Addressing attribution of cause and effect in small n impact evaluations: towards an integrated framework*, 3IE Working Paper 15.

<sup>32</sup> UNICEF's new Medium Term Strategic Plan has the stated objective of MoRES being implemented across all UNICEF countries so comparison countries will not exist. It may be possible to generate comparative data by looking at relative 'dosage' of MoRES (for example between Workstream One countries and new countries) and compare 'performance' over time but this approach will require quite sophisticated measurement of MoRES implementation.



### 3. Institutional context

The final area of evaluability enquiry is the overall institutional context for the evaluation. The key question here relates to the degree to which UNICEF will be *'ready'* for an evaluation of MoRES to be conducted. In some important respects, of course, this is a hard question to answer at this stage and in the context of this report. Logically speaking the request in the ToR for this assignment for an evaluability assessment to be carried out, signals that the UNICEF EO is planning a comprehensive evaluation of MoRES in 2-3 years' time. However, the ToR was originally written nearly 18 months ago and there have been significant changes in the way that MoRES has been implemented over this time (for example, in terms of the mainstreaming of MoRES into existing systems). As such it is entirely possible that the organizational requirement (or appetite) for a full evaluation of MoRES will have changed.

On the other hand, as highlighted in this formative evaluation, it is too early to draw solid conclusions at this stage of MoRES implementation or the degree to which MoRES has made a difference in terms of reducing inequities at national level. A strong case could be made for UNICEF to undertake a full evaluation of MoRES at a later stage when there will be more data available to better evaluate the impact that MoRES has had.

At this stage the key question that will need to be addressed in order to better clarify the degree to which UNICEF is *'ready'* for an evaluation of MoRES is who would the primary users of a future evaluation be and what would be their requirements? It is possible, for example, that the primary audience for such an evaluation would be stakeholders outside UNICEF who may have very specific interests and/or particular evaluation questions. Related to this discussion is the critical question concerning the potential level to which a future evaluation of MoRES will have an influence both within and beyond UNICEF.

**It is not possible to draw a firm conclusion in terms of the level of confidence in the future evaluability of MoRES in relation to the institutional context.**

The EO will need to re-look at objectives for such an evaluation and carry out an utilisation focused assessment of who will be interested in the evaluation findings and the degree to which findings will leverage influence above and beyond, for example, this formative evaluation.

## TOWARDS AN EVALUATION FRAMEWORK

This formative evaluation and the EA discussion, above, have both highlighted the fact there are significant issues with trying to assess or evaluate MoRES as a *'single entity'*. Specifically the finding that MoRES is in fact comprised of a number of key *'elements'* which can be implemented in different ways in different contexts – and, critically, don't all need to be implemented together – means that it is better to approach analysis of MoRES from the perspective of different elements.

The case studies for this evaluation were assessed against a cause-effect model which presented nine key elements on the MoRES causal pathway (figure 7). From the perspective of an evaluation it is possible to identify nine associated summative evaluation questions as presented in table 9, pg 50.

For each of the summative evaluation questions key suggested indicators have been identified which could form the basis of a detailed evaluation framework for MoRES. One of the primary purposes of this framework will be to allow UNICEF to identify (and prioritise) specific evaluative questions to focus the enquiry on rather than attempting to evaluate MoRES *'as a whole'*. Annex XV provides a preliminary assessment of the data requirements relating to each indicator and highlights where specific efforts will need to be applied to ensure that data against indicators can be produced.



**TABLE 9** Summative evaluation questions for MoRES

1. Did MoRES result in an increased rate of reduction in equity gaps for deprived children?
2. What other effects did MoRES generate for deprived children, intended and unintended, positive and negative?
3. Are the costs of MoRES justified by the results?
4. Did MoRES lead to greater UNICEF and national partner understanding of national deprivation patterns and bottlenecks for deprived children?
5. Was the equity focus mainstreamed through UNICEF architecture and systems and operationalised by staff?
6. Did MoRES deliver improved availability of outcome-level data and analysis on child deprivation?
7. Did evidence of progress towards equity at country level influence UNICEF and national partner programming and budgeting?
8. Was MoRES adequately led, resourced and supported at all levels within UNICEF?
9. Was MoRES adequately justified in light of the available evidence and other strategy alternatives considered at the time of its design and adoption?

**TABLE 10** Draft framework for summative evaluation of MoRES

Results chain	Evaluation questions	Possible indicators
<b>IMPACT:</b> Increased rate of reduction in equity gaps	1. Did MoRES result in an increased rate of reduction in equity gaps for deprived children?	<ul style="list-style-type: none"> <li>• Reduced levels of deprivation for disadvantaged children.</li> <li>• Reduced equity gaps for disadvantaged children.</li> </ul>
	2. What other effects did MoRES generate for deprived children, intended and unintended, positive and negative?	<ul style="list-style-type: none"> <li>• MoRES delivers wider benefits.</li> <li>• MoRES does not deliver negative impacts or unacceptable opportunity costs.</li> <li>• Prospects for sustainable impact are good.</li> </ul>
	3. Are the costs of MoRES justified by the results?	<ul style="list-style-type: none"> <li>• Cost ratios for equity impacts.</li> <li>• MoRES offers add value compared to alternatives.</li> </ul>
<b>OUTCOME 1:</b> National deprivation patterns and bottlenecks for disadvantaged children understood	4. Did MoRES lead to greater UNICEF and national partner understanding of national deprivation patterns and bottlenecks for deprived children?	<ul style="list-style-type: none"> <li>• National partners at local, regional and national levels demonstrate better understanding of national deprivation patterns and bottlenecks for deprived children.</li> <li>• UNICEF country office staff demonstrate better understanding of national deprivation patterns and bottlenecks for deprived children.</li> <li>• UNICEF and national partners accept the validity of an equity-focused approach compared to other approaches.</li> </ul>



### Draft framework for summative evaluation of MoRES (cont'd)

Results chain	Evaluation questions	Possible indicators
<b>OUTCOME 2:</b> Equity focus is mainstreamed through UNICEF architecture and systems and operationalised by staff	<b>5.</b> Was the equity focus mainstreamed through UNICEF architecture and systems and operationalised by staff?	<ul style="list-style-type: none"> <li>• UNICEF M&amp;E systems are equity-focused.</li> <li>• UNICEF programming processes are equity-focused.</li> <li>• UNICEF staff apply an equity-focused approach in a consistent and coherent manner.</li> </ul>
<b>OUTCOME 3:</b> Outcome information available using the determinants framework	<b>6.</b> Did MoRES deliver improved availability of outcome-level data and analysis on child deprivation?	<ul style="list-style-type: none"> <li>• Robust evidence (from MICS data, national surveys and outcome monitoring data) on priority bottlenecks and solutions is available at local, regional and national levels.</li> <li>• MICS data, national surveys and outcome monitoring data are used as basis for policy discussion on equity.</li> <li>• UNICEF and national partner capacity exists to monitor and plan at local, regional, national levels.</li> </ul>
<b>OUTCOME 4:</b> Evidence available on progress towards equity at CO level	<b>7.</b> Did evidence of progress towards equity at country level influence UNICEF and national partner programming and budgeting?	<ul style="list-style-type: none"> <li>• Increased number and value of country-level equity-focused programmes.</li> <li>• Programmes and national policies are continuously adjusted and designed with an equity focus for disadvantaged children.</li> </ul>
<b>OUTPUTS</b> <b>1:</b> Equity-focused Situation Analysis <b>2:</b> UNICEF country programmes monitor child specific deprivation <b>3:</b> Outcome level monitoring with national government at the appropriate level of decentralisation <b>4:</b> Measurement progress and collection of evidence	<b>8.</b> Was MoRES adequately led, resourced and supported at all levels within UNICEF?	<ul style="list-style-type: none"> <li>• Clarity on MoRES concept, tools and approaches.</li> <li>• Engagement within UNICEF and with national partners was effective.</li> <li>• Adequate capacity and resources were available within UNICEF and national partners.</li> </ul>
<b>INPUT:</b> MoRES applied as an integrated system	<b>9.</b> Was MoRES adequately justified in light of the available evidence and other strategy alternatives considered at the time of its design and adoption?	<ul style="list-style-type: none"> <li>• UNICEF explored strategy alternatives.</li> <li>• Available evidence demonstrated that MoRES was the most viable strategy to address child deprivation.</li> </ul>



## ANNEX VIII

### LIST OF MoRES EVALUATION INTERVIEWEES

#### INCEPTION PHASE INTERVIEWS

Gordon Alexander [Director,  
Office of Research]

Nicholas Alipui Director, Programme Division]

David Anthony [Chief, Policy Planning and  
Programme Monitoring Section, DPS]

Lakshmi Balaji [Chief, Policy, Planning and  
Programme Monitoring Section, DPS]

Eimar Barr [Director,  
Change Management Office]

Roberto Benes [Regional Adviser,  
Social Policy, MENA]

Barbara Bentein [Representative, DRC]

Sam Bickel [Evaluation Office]

Susan Bissell [Associate Director,  
Child Protection]

Genevieve Boutin [Chief,  
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Carlos Carrera [Health Specialist]

Debora Comini [Deputy Regional  
Director, TACRO]

Mathew Cummins [Social Policy and  
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Nita Dalmiya [Micronutrients Specialist,  
Nutrition Section]

Theresa Diaz [Senior Health Specialist]

Judith Diers [Chief, Adolescent Development  
and Participation, Gender Rights &  
Civic Engagement]

Jean Dupraz [Deputy Director, GMA and Head]

Etona Ekole [Head – Policy, Planning &  
Programme Monitoring Section]

Gabriele Fontana [Health Specialist –  
Decentralized, Health Section]

Gaby Guerrero [Public Policy Officer, Peru]

Geeta Rao Gupta [Deputy Executive Director]

Attila Hancioglu [Senior Adviser MICS,  
Stats and Monitoring, DPS]

Karen Heissler [Child Protection Specialist]

Priscilla Idele [Senior Adviser, Stats  
and Monitoring, DPS]

Rob Jenkins [Associate Director, PPG; Policy,  
Planning and Programme Monitoring, DPS]

Claes Johansson [Senior Adviser, Stats  
and Monitoring, DPS]

Melva Johnson [Deputy Representative, Peru]

Neha Kapil [Programme Specialist, C4D,  
Gender Rights & Civic Engagement]

Musonda Kasonde [Knowledge Management]

Jennifer Keane [Child Protection Specialist]

Angela Kearney [Representative, Indonesia]

Colin Kirk [Director, Evaluation Office]

Rudy Knippenberg [Principal Adviser, Health]

Rolf Luyendijk [Senior Programme Officer,  
Stats and Monitoring, DPS]

Anne-Claire Luzot [Regional Chief,  
M&E, CEE/CIS]

Anju Malhotra [Principal Adviser,  
Gender Rights & Civic Engagement]

Paul Martin [Representative, Peru]



Craig McClure [Head of HIV/AIDS]

Samuel Momanyi [Chief, Programme Information and Performance; Policy, Planning & Programme]

Geeta Narayan [Chief of Planning and Programmes, MENA]

Jeffrey O'Malley [Director, DPS]

Rafael Obregon [Chief, C4D, Gender Rights & Civic Engagement]

Aida Oliver [Regional Chief of Planning, TACRO]

Gemma Orta-Martinez [Director's Office, Market Analysis and Supply Data]

Will Parks [Deputy Representative, Nepal]

Oliver Petrovic [ECD Specialist]

Marie-Pierre Poirier [Regional Director, CEE/CIS]

David Ponet [Civil Society Partnerships]

Patricia Portela Souza [Specialist, C4D, Gender Rights & Civic Engagement]

Martin Porter [Emergency Specialist]

Nabina Rajbhandari [MoRES Secretariat]

Abhiyan Jung Rana [Education Specialist]

Harold Randall [Programme Specialist, DPS]

James Rogan [Chief, Peacebuilding and Recovery Section]

Braedon Rogers [HIV/AIDS Specialist]

Carlos Rojas [M&E Office, Peru]

Christiane Rudert [Nutrition Specialist]

Aarti Saihjee [Education Specialist]

Christian Salazar [Deputy Director, PD]

Werner Schultink [Associate Director, Nutrition]

Abhijit Shanker [Chief, Internal Communication, Director's Office]

Alyssa Sharkey [Health Specialist, Health Section]

Susana Sottoli [Associate Director, GRACE, Gender Rights & Civic Engagement]

Elhadj As Sy [Director, PARMO]

Jos Vandelaer [Chief, Immunisation]

Pascal Villeneuve [Representative, Bangladesh]

Susie Villeneuve [Health Specialist]

Tessa Wardlaw [Associate Director, Stats and Monitoring, DPS]

Sanjay Wijesekera [Associate Director, Water, Sanitation and Hygiene]

Hamish Young [Associate Director, Executive Director's Office]

Maniza Zaman [Deputy Director, PD]

## COUNTRY CASE STUDIES INTERVIEWS

### Afghanistan

Abdijabar Hassan Dini [Chief, UNICEF Kandahar Office]

Ewaz Nazari [Deputy Director of Kandahar Department of Education]

Bhanu Pathak [Chief, UNICEF Afghanistan]

Tahir Sarwari [PME Officer of UNICEF Kandahar Office]

Siping Wang [Chief PME, UNICEF Afghanistan]

### Bangladesh

Isa Achoba [Chief, SPPME Section]

Jucy Merina Adhikari [Health Specialist, Health Section]

Syed Imtiaz Ahmed [Child Protection Officer, Child Protection Section]



Syed Khabir Ahmed [Programme Specialist,  
Field Operation Section]

Prof. Syed Masud Ahmed [Coordinator, Centre  
for Excellence, James P. Grant School of Public  
Health Centre for Equity and Health Systems]

Settasak Akanimart [Child Protection  
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Nadia Ishrat Alamgir [Sr. Research Associate,  
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S M Zulfiqar Ali [Sr. Research Fellow,  
Bangladesh Institute of Development Studies]

Indrani Chakma [Health Specialist,  
Health Section]

Catherine Chirwa [Education Specialist,  
Education Section]

Md Mazharul Hoque Chowdhury  
[Upazila Family Planning Officer; Upazila:  
Madan; District: Netrokona]

Amy Delneuve [Child Protection Specialist,  
Child Protection Section]

Md Omar Farooq [Head of Zone Office,  
Mymensingh, Dhaka Division]

Thomas George [Community Development &  
Planning Specialist, Field Operation Section]

Shantanu Gupta [M&E Specialist,  
SPPME Section]

Monira Hasan [Education Specialist,  
Education Section]

Dr. Md. Altaf Hossain  
[Programme Manager, IMCI; Directorate  
General of Health Services, Dhaka]

Charlie Hrachya [Chief, WASH Section]

Hedy IP [Nutrition Specialist, Nutrition Section]

Gloria Kaberia [Child Protection Officer,  
Child Protection Section]

Thomas Michael Kaye [Education Officer,  
Education Section]

Mashiur Rahman Khan [Knowledge  
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Lianne Kuppens [Chief, Health Section]

Riad Mahmud [Health Specialist,  
Health Section]

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**PHOTO CREDIT:**

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2011, Children in class learning in group how to tell time at Shirichena Primary School, Mhondoro district about 60km south of Harare. The school has been supported by UNICEF with desks, benches, stationery and newly constructed classrooms through the Child Friendly Schools Initiative.



