

UNICEF

Asia Pacific Shared Services Centre

**Regional Thematic Evaluation
UNICEF Support to Capacity Development
in Asia-Pacific, 2007 - 2010**

FINAL REPORT

November, 2011

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Bangkok / Ho Chi Minh City**

Acknowledgements

The Evaluation team would like to express its gratitude to the many people who cooperated in the present evaluation and those who supported the process over a five month period. Sincere thanks goes to the Government staff in the country case studies, i.e. India, Bangladesh, Myanmar and the Philippines as well to the staff of UNICEF Regional and Country Offices, implementing partners and other development agencies. Special appreciation is due to the UNICEF Asia-Pacific Shared Services Centre and its staff, who managed the evaluation and provided logistic support, to the South Asia and East Asia and Pacific Regional Offices, to the selected Country and field offices as well as to the Evaluation Reference Group who commented on earlier versions of the present report. In all instances people met showed great enthusiasm and engagement in capacity development work in which they were involved. We hope that the results of the present evaluation will contribute to further enhancing capacity development initiatives of UNICEF and its partners and in this way further promote the realisation of the rights of children and women in the region.

Please mind that the viewpoints expressed in this report are those of the evaluators and do not necessarily reflect the opinion of Government partners and UNICEF.

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Acronyms & Abbreviations

AAA	Accra Agenda for Action
AECID.....	Spanish International Cooperation Agency for Development
APSSC	UNICEF Asia-Pacific Shared Services Centre
ARNEC	Asia-Pacific Regional Network for Early Childhood
ASEAN	Association of South-East Asian Nations
BCC.....	Behavioural Change Communication
CEDAW	Convention on the Elimination of Discrimination against Women
CO	Country Office
COAR	Country Office Annual Report
CPAP.....	Country Programme Action Plan
CPC.....	Country Programme of Cooperation
CPD.....	Country Programme Document
CRC.....	Convention on the Rights of the Child
C4D	Communication for Development
DAC	Development Assistance Committee
DevInfo	Development Information (Database programme)
EAPRO	East Asia and Pacific Regional Office
EC(C)D	Early Childhood (Care and)Development
ECOSOC	Economic and Social Council
EFA.....	Education for All
EPI.....	Expanded Programme on Immunisation
FGA	Functional Gap Analysis
GAD.....	Gender and Development
GOI.....	Government of India
GOB.....	Government of Bangladesh
GOP.....	Government of Philippines
GOUM	Government of Union of Myanmar
HIV/AIDS	HIV/ Acquired Immunity Deficiency Syndrome
HRBA.....	Human Rights-Based Approach
KAP	Knowledge, Attitude and Practice
LGU	Local Government Unit
MDG	Millennium Development Goal
M&E.....	Monitoring and Evaluation
MfDR	Management for Development Results
MICS.....	Multiple Indicator Cluster Survey
MIS	Management Information System
MOU	Memorandum of Understanding

MOWCA	Ministry of Welfare and Child Affairs
MSC	Most Significant Change
MTR	Mid-Term Review
MTSP	Mid-Term Strategic Plan
NASP	National AIDS and STI Project
NEDA	National Economic Development Association (Philippines)
NGO	Non-Governmental Organisation
OECD	Organisation for Economic Cooperation and Development
PCA	Project Cooperation Agreement
PD	Paris Declaration
PMTCT	Prevention of Mother to Child Transmission
RMT	Regional Management Team
RTE	Right of Children to Free and Compulsory Education Act in India
ROSA	Regional Office South Asia
SAARC	South Asian Association for Regional Cooperation
SHEWA-B	Sanitation Hygiene Education and Water Supply in Bangladesh
SLIP	School Level Improvement Plan
SMT	Senior Management Team
SPARSH	Centre for Participatory Learning (Maharashtra, India)
STI	Sexually Transmitted Infection
SWAp	Sector Wide Approach
TA	Technical assistance
ToR	Terms of Reference
TNA	Training Needs Assessment
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNICEF	Children's Fund of the United Nations
WASH	Water, Sanitation and Health
WATSAN	Water and Sanitation
WHO	World Health Organisation
WB	World Bank
YASHADA	Yashwantrao Chavan Academy of Development Administration (Maharashtra, India)

EXECUTIVE SUMMARY

INTRODUCTION

- i. Conducting regional and multi-country thematic evaluations is an important means of UNICEF's knowledge development and identified as such in UNICEF's Evaluation Policy¹. The present regional thematic evaluation on capacity development in the Asia-Pacific region is meant to inform regional and country level strategizing and programming on capacity development. The selection of the theme of capacity development relates to the prevalence of capacity development as a strategy in UNICEF's programming and the importance of national capacity development to UNICEF's mandate. It is also related to the wider UN system, in which capacity development has been identified as one of two enabling principles. Capacity development has, moreover, been recognised as required for realizing the MDGs and as a critical issue in enhancing aid effectiveness.
- ii. In 2009 UNICEF presented a definition of capacity development² which includes a reference to the three levels of capacities identified by the UNDG: the individual, the organisational and the societal level (the latter also referred to as the 'enabling environment'):

A process over time through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to achieve their own development objectives, defined within norms of human rights and gender equality.
- iii. Expected users of the evaluation results include Regional Directors, Regional Management Teams and regional advisers of the South Asia and East Asia and the Pacific Regional Offices, the Asia Pacific Shared Services Centre, SMT and programme staff of UNICEF Country Offices, their partners and other stakeholders, as well as UNICEF staff in the wider organisation. With national capacity development at the core of UNICEF's work and the lack of clear organisational guidance regarding capacity development as an approach in UNICEF's programming, the time appears right for a formative evaluation.
- iv. The thematic evaluation has two main objectives:
 1. To determine the extent to which UNICEF has been effective in delivering capacity development support in the region and the extent to which the capacity development support has contributed to results towards the realisation of the rights of children and women.
 2. To identify strategic issues and options that will allow UNICEF to better support capacity development in the region. To this end, the evaluation is expected to derive recommendation and to distil lessons towards:
 - a. Improving strategies and approaches for capacity development support;
 - b. Strengthening UNICEF's strategic positioning within various national contexts, and its comparative advantage in supporting capacity development
- v. The evaluation makes use of four of the five DAC Evaluation criteria, which have been further specified for the present evaluation, with the exclusion of impact, in line with the Terms of Reference, as this criterion is not easily combined with the formative approach of the evaluation. The evaluation focuses on the period from 2007 to 2010 and draws on the findings from a desk review and primary data gathering in four country case studies, identified by UNICEF, i.e. Bangladesh, India, Myanmar and the Philippines. The framework used for this evaluation was developed during the desk review to identify aspects of UNICEF's practice in capacity development. Semi-structured interviews were conducted with key informants. The evaluation team was composed of two members and evaluators adhered to the UNEG Evaluation Standards and Norms. Country and regional level projects, programmes and initiatives with substantial capacity development components as well as the wider programme strategies and approaches guiding the former form the object of this evaluation.

¹ Economic and Social Council, *UNICEF Evaluation Policy*. 2008.

²As part of the Annual Report for the First regular session of the 2010 UNICEF Executive Board meeting.

FINDINGS

UNICEF's Practice in Capacity Development Support

- vi. Though a substantial amount of programming in the various country offices includes development of capacities at one or more levels, there appeared to be no shared understanding on what capacity development is and what it includes. This is evident from the viewpoints of the various staff members interviewed as well as from the regular and ad hoc programme documentation that is produced. UNICEF's definition of capacity development, presented in the 2009 UNICEF Annual Report to the Economic and Social Council³, is usually not used or referred to. Apart from a definition, there is no shared framework on how capacity development interventions at the various levels can be linked together in practice, and how these interrelated capacities contribute to results for children and women in a verifiable way. Various country offices have acknowledged that capacity development has not sufficiently been recognised as a key strategy in their programming. In an effort to fill this gap, country offices are implementing a number of studies and learning events aimed at enhancing the understanding of capacity development strategies and approaches.
- vii. In the absence of an organisational conceptual framework, UNICEF's practice of capacity development in the Asia-Pacific region is assessed, for the purpose of this evaluation, against the framework developed during the desk review of the evaluation.
- viii. The context is important in capacity development initiatives as it can provide constraints as well as factors conducive to capacity development. UNICEF country offices proved to be responsive to emerging contextual changes. They take advantage of their presence in the country to monitor the context and to inform their programme strategies and implementation. Decentralization in both India and the Philippines provides new opportunities for capacity development at sub-national levels.
- ix. The ownership of initiatives is important as reflected in the Paris Declaration and the Accra Agenda for Action to which UNICEF, as part of the UN, has subscribed. Ownership is considered to be important for capacity development to succeed and the process of developing capacities is meant to be an endogenous endeavor. High levels of country ownership could be observed in particular at national level. Initiatives, though, are not always owned by countries from the start as UNICEF and other organisations play a role in supporting particular agendas and advocating for certain initiatives related to their mandates and in accordance with international conventions and standards. Though substantial organisational change was underway in various government organisations and partner NGOs, UNICEF's capacity development initiatives were not necessarily aligned with or linked to these internal change processes. This often limited the endogenous character of the supported changes.
- x. UNICEF is adapting its support, from a past of working, in particular, on direct implementation towards developing capacities of counterpart organisations. The pace of this process is adapted to/depends on the country context. Increasingly country offices have started to address issues at the organisational and enabling environment levels.
- xi. Training remains the main component of most capacity development efforts, across the various sectors. In particular one-off technical trainings without follow-up, which proved often less effective, were found across the board in the country cases. Multi-faceted training, training that is followed up with refresher courses, training provided to multiple stakeholders involved in a sector, and training combined with other types of support, prove to be more effective.
- xii. There is a growing awareness among staff that training alone is usually not sufficient to develop the capacities required to enhance results for children and women. Country offices' focus on capacity development has shifted increasingly towards the organisational level, supporting the development of capacities of both duty bearers and rights holders. Duty bearers include government organisations but also parents and community members in their role as caretakers of children. UNICEF supports rights holders mainly through national and local civil society organisations and in various cases with the support from international NGOs. UNICEF has changed its approach to training by focusing on the

³ Economic and Social Council E/2010/6 E/ICEF/2010/3, 16 November 2009

capacity development of training providers. This has provided a more systemic orientation to UNICEF's capacity development work and produced considerable leverage in various instances. This systemic approach is increasingly reflected in a changed approach to training, in which country offices support the development of capacities of training providers in order to improve their regular training programmes.

- xiii. In practice, the focus of support to organisations often remains confined to technical issues and does not incorporate systemic aspects such as human resource management, financial management or staff incentive systems. One notable exception is UNICEF's attention to monitoring and evaluation linked to results based management in various organisations. However, even in this area, support has often focused on technical aspects and less on the systemic aspects of the M&E function within an organisation.
- xiv. An important part of UNICEF's support to organizational capacity development is the work undertaken at community level, in particular through communication for development (C4D). Through behavioural change communication and other approaches, attitudes and behaviours of parents and their children are addressed. This is usually done through local and international NGO intermediaries.
- xv. In all country case studies, policy analysis and advocacy has become an important part of UNICEF's programming, even in countries with a more constraining political context. The enhanced attention to policy advocacy is underpinned by the support to national and sub-national level monitoring of the conditions of children and women through the MICS, focused studies and knowledge products on key issues. The use of Government-owned MICS data enhances the credibility of advocacy initiatives.
- xvi. Piloting and modeling innovations for scale-up by government agencies is a means of capacity development which is used in most countries. However, there is limited organisational guidance on how to pilot and scale up. More recently the approach to piloting and modeling has received a new impetus, with UNICEF playing increasingly a knowledge management role, through the development of models, supported by studies, which can be scaled up in order to enhance results for children and women.
- xvii. Gender mainstreaming through capacity development plans is achieved by a limited number of programmes and sections. Capacity development for gender mainstreaming usually takes place in parts, but not as a strategic, consolidated approach across a country office. The practical requirements for the development of capacities for engendered programming are often not sufficiently understood. A Gender Task Force which is given a high profile within a country office is seen to enhance guidance to staff on engendering capacity development at the programmatic and operational level. Overall, there is a need for UNICEF to reinforce its efforts to embed gender equality within capacity development efforts in all stages of the programme cycle.
- xviii. UNICEF's practice in capacity development programming is constrained by the predominant use of a short-term project-based approach rather than a longer term programmatic approach. It is also characterised by insufficient attention to the process involved in developing capacities which can contribute to enhanced results. There is an increasing equity focus in capacity development programming which is manifest in capacity development initiatives geared towards both duty bearers and rights holders in areas with low access to social services.
- xix. In addition to working at country level, UNICEF supports capacity development initiatives at regional level, which when sufficiently linked with country level work can contribute to the effectiveness of capacity development initiatives. Regional offices and APSSC moreover, provide support to country office programming, including to capacity development initiatives. Regional advisers and country office sector heads usually have a background as sector specialists, therefore capacity development processes and tools do not necessarily get the attention that would be required. With insufficient expertise on capacity development approaches and methodologies, at regional and country level, it is difficult to identify and address key systemic issues, including UNICEF's own capacities.

Stages in the Programme Cycle of Capacity Development Initiatives

- xx. Overall, capacity development programming efforts have been more focused and systemic in nature when interventions have been analysed using formal assessment tools. Tools designed to capture information on capacity assets and gaps at individual, organisational, and enabling environment levels were found to be particularly useful for the design, management and budgeting of capacity development initiatives. Nonetheless such assessments were not regularly conducted. The regular means of analysis and monitoring within UNICEF, including the Situation Analysis, the MICS and programme reviews, do not usually contain systematic information on capacities at organisation level of key counterpart agencies and other partners involved in the change process. There appears to be no consistent use of training needs assessments (TNA) to inform training initiatives or an exploration of whether TNAs lead to greater levels of training effectiveness. Given the predominance of training as an approach to capacity development within UNICEF, TNAs need to be better understood and used to inform training activities. Overall, initiatives at the enabling environment level proved to be mostly informed by analysis, with a variety of studies conducted in the various country offices to inform design of such interventions.
- xxi. Monitoring of capacity development initiatives is often limited to output level implementation without much attention to intermediate outcome level changes. This relates on the one hand to the lack of indicators on these intermediate levels in results frameworks and on the other hand to the lack of an organisational framework explaining in a generic way the theory of change and related results chain in capacity development initiatives. Nonetheless, some good practices have been identified in which monitoring systems capture capacity changes that can inform programme management. When monitoring is conducted, Government monitoring systems are normally used and supported by UNICEF, with a view to reinforcing them.
- xxii. Baseline studies, assessing the situation regarding key indicators at the start of a project or programme, are not often conducted. When they exist, they rarely include indicators on capacities at organisational and enabling environment levels and thus fail to provide the necessary comparative data required to assess the extent to which systemic changes have taken place as a result of capacity development interventions. There is also a lack of focus on assessing intermediate-level changes in evaluations. This severely limits the ability to learn on what works in capacity development.
- xxiii. UNICEF's capacity development work has been diversified. However, this is not yet sufficiently reflected in the way UNICEF monitors and evaluates its interventions. As changes need to be assessed at various levels, M&E approaches and tools will have to be diversified.

Assessment against DAC Evaluation Criteria

Relevance

- xxiv. UNICEF's support to capacity development at country and regional level are in line with the CRC as well as with the CEDAW, the latter though mainly in a piecemeal way in the absence of a gender strategy. Likewise, initiatives in all country offices visited are in line with the priorities of the UNDAF, in particular in terms of their focus on providing equitable access to social services. Capacity development programming is also in line with UNICEF's MTSP goals and initiatives focus on achieving selected key results areas of the various MTSP focus areas.
- xxv. When focusing on duty bearers in capacity development programming UNICEF mostly works with and through Government, making use of regular government systems for programme implementation as well as for monitoring and evaluation. Mostly no separate project implementation units are set up. The level of ownership of programmes is relatively high. By working with government institutions (and NGOs) in training, making use of and further enhancing their capacity, UNICEF further enhances ownership. The same approach is taken in monitoring and evaluation, where UNICEF develops M&E capacities of Ministries and Departments as well as National Statistical Offices for the implementation of MICS and other data gathering processes. Support to the development of National Evaluation Organisations also contributes to national ownership. Ownership is less pronounced when working with national NGOs. UNICEF could be more actively engaged with them as partners, developing their

capacities as civil society organisations rather than regarding them as short-term sub-contractors. Nevertheless, there are some good practice examples of longer term NGO partnerships.

Effectiveness

- xxvi. The existence of linkages between changes in individual, organisational and enabling environment capacities can improve the performance of organisations and result in benefits for children and women. UNICEF interventions have in various instances contributed to enhanced capacities at individual, organisational and enabling environment levels which in turn have resulted in improved performance of various organisations concerned. UNICEF has diversified its role in capacity development in the period under review, working increasingly at organisational and enabling environment level. Moreover, it has shown that it can adapt its role over time. These aspects are likely to have enhanced UNICEF's effectiveness in supporting capacity development.
- xxvii. Evaluations usually do not relate identified results directly to capacity development interventions since assessing the effectiveness of such interventions is mostly not foreseen in the objectives of evaluations. With capacity development indicators lacking in baselines and in many sector and programme level results frameworks, the evaluability of capacity development initiatives supported by UNICEF is considerably undermined.
- xxviii. The four country cases show that capacity development programming efforts have been more focused and systemic in nature when interventions have been analysed using formal assessment tools. Working on a systemic level can enhance effectiveness as was shown with the examples of capacity development of training institutions, rather than providing direct training support, which has resulted in better performing training institutes that can support the development process in the longer term. Work at the enabling environment level has led to the elimination of some constraints, be it in legislative or policy terms or in terms of lack of Government resources. Longer term approaches are needed in order to effectively develop the capacities of key stakeholders in the development process.

Efficiency

- xxix. A number of systemic constraints in UNICEF and in partner agencies limit the efficiency of capacity development interventions. On UNICEF's side these include a) bureaucratic HR procedures which often prevent timely recruitment of high quality consultants with strong capacity development competencies, b) time consuming UNICEF operational procedures, c) poor PCA management and long time frames required to put PCAs in place. On the Government's side, constraints include a) high levels of staff turnover with placement across regions and sectors, b) large number of vacant staff positions in particular in isolated areas and c) a lack of incentives for staff to enhance performance.

Sustainability

- xxx. The relatively high level of Government ownership, often increasing over time, is a good indication of the likeliness of sustainability of the results achieved through capacity development initiatives. Pilots that have been mainstreamed in the government system have mostly been longer term initiatives addressing complex organisational issues at multiple levels as part of a strategic and programmatic approach. In various instances, Government contributed considerable resources to initiatives. Also, capacity development of rights holders proved to be more sustainable when interventions addressed all three levels of capacity development, including systemic capacities of NGOs (such as human resource and financial management), and when UNICEF committed to partner over longer time frames. At times, shorter term results have been prioritized jeopardising longer term sustainability.

CONCLUSIONS

- xxxi. Though capacity development is a key strategy in UNICEF's programme approach in the region, it is usually dealt with on a project by project basis and in an ad hoc way. There appears to be a lack of common understanding on the concept of capacity development amongst UNICEF staff and there is no common strategy or corporate framework to guide the various programme stages of capacity development initiatives. The development of such strategy and framework would provide staff with the means to design and implement capacity development interventions in a more efficient way. When

developing UNICEF's concept of and approach to capacity development, linkages with the organisation's overarching programming principles (in particular HRBAP, gender, equity) would need to be made clear and explicit.

- xxxii. UNICEF's capacity development support is overall relevant and in line with the CRC and the CEDAW. The initiatives are in line with the UN Development Assistance Framework and do reflect key priority areas of the MTSP. In general, country ownership is relatively high though linkages with endogenous change processes in organisations are usually not present. Relations with NGOs are often more sub-contractor oriented than aimed at the development of civil society capacity.
- xxxiii. UNICEF country offices have shifted to support the development of capacities at multiple levels and evidence based policy advocacy is one of UNICEF's growing strengths in the region, which is underpinned by targeted studies and regular data gathering processes. Many UNICEF country offices are actively involved in pilots and the development of models applying an evidence-based approach, and making use of advocacy towards government to mainstream good practices. UNICEF's work on C4D adds an important layer to capacity development work looking at parents, caretakers and communities as duty bearers towards children and supporting them in that role. There is sufficient reason to conclude that capacity development initiatives have contributed to enhanced performance of organisations concerned.
- xxxiv. APSSC and Regional Offices have played an important role in terms of capacity development programming, addressing issues at regional level as well as through provision of technical support to country offices, in line with the technical capacities of staff concerned. There is a lack of specific capacity development expertise and roles and responsibilities between regional and country level technical support are not sufficiently clarified.
- xxxv. The shift towards increasingly addressing the organisational and enabling environment level of capacity development, in addition to the individual level, has in practice not yet sufficiently resulted in the systematic evaluation of the results of capacity development initiatives at these levels. Reporting on capacity development in the regular UNICEF reporting system is mostly limited to activities and their outputs. There is a need to pay more attention to results and to analysis of what works in capacity development programming in order to enhance accountability and learning.
- xxxvi. Relatively high level of Government ownership enhances the sustainability of the results. The use of a short term project approach and aiming at immediate results can at times jeopardise the development of longer term sustainable organizational capacities of key stakeholders.
- xxxvii. UNICEF country offices' comparative advantage is grounded in their 'downstream' presence, and when moving 'upstream' in terms of programming, UNICEF usually retains a sub-national presence. This has advantages in terms of capacity development as it allows UNICEF to support the various levels of capacities from local, sub-national to national level in an integrated and coordinated way, in partnership with other organisations. In this respect UNICEF has been able to link up with and respond to important decentralisation processes, supporting the development of capacities at the sub-national level of government agencies as well as civil society organisations.
- xxxviii. Good practices are emerging in various parts of UNICEF's programming and across sectors. Though there are multiple opportunities for learning across sectors within a country office, as well as across UNICEF country offices in the region, these opportunities prove presently under-used and there is a need to enhance learning mechanisms and processes.

RECOMMENDATIONS (Abridged)

- xxxix. Capacity development should be mainstreamed as a key programming principle within UNICEF. This process should take place at headquarters and regional level, as well as in each UNICEF country office. At the same time, equity and gender need to be integrated into the mainstreaming of capacity development as part of UNICEF's human rights-based programmatic approach.
- xl. A policy paper should be developed to guide and support this process. This paper should outline UNICEF's understanding of capacity development and specify organisational requirements in terms of

policies, human resources as well as guidelines to institutionalise capacity development across the organisation.

- xli. Based on UNICEF's definition of capacity development, it is recommended to develop a shared understanding across the organisation (conceptually, programmatically and operationally).

At Regional Level

- xlii. Develop a regional strategy on capacity development, grounded in the practice of UNICEF's work at regional, country, sub-national and local levels.
- xlili. Ensure that technical capacity at the regional level is adequate for working on regional capacity development issues and for providing support services to country offices. Clarify roles of regional technical advisors in various aspects of capacity development.
- xliv. Develop south-south learning mechanisms to share capacity development experiences obtained in the region.
- xlv. Support country offices by giving them access to a pool of regional/international capacity development consultants.
- xlvi. Ensure that capacity development, as a key approach in UNICEF's programming, is assessed in MTRs, CPEs and other evaluations and assessments.
- xlvii. Define a realistic minimum set of capacity development benchmarks necessary to support the evaluability of capacity development projects and programmes.

For Country Offices in the Region

- xlviii. Develop a country level plan, informed by the regional strategy, for enhancing capacity development as a key approach to UNICEF's programming in the country, based on UNICEF's definition and in partnership with counterpart agencies, other UN agencies and development partners, addressing overall capacity issues as well as those related to specific phases of the programming cycle.
- xliv. Embed gender and equity into UNICEF's approach to capacity development.
 - I. Ensure that capacity development, as a key strategy of UNICEF's programming, is incorporated into human resources policies and procedures.
 - li. Inform the design of capacity development initiatives through capacity assessments conducted together with counterpart agencies and other development partners.
 - lii. Improve evaluation and monitoring and enhance evaluability of capacity development interventions and, in this way, enhance the learning on which approaches work and which do not work.
 - liiii. Enhance engagement in longer-term partnerships with key stakeholders at the country office level in order to be able to develop capacities of a set of critical actors over a longer period of time and to increase sustainability of results.

1 INTRODUCTION

- 1.1 Conducting multi-country thematic evaluations is an important component of the evaluation framework of UNICEF and identified as such in UNICEF's Evaluation Policy⁴. Thematic evaluations are meant to serve UNICEF teams and their partners, at regional and country level, in the assessment of strategies that contribute to the realisation of the rights of children and women. Conducting thematic evaluations is linked to UNICEF's knowledge agenda as outlined in the MTSP 2006-2013, aimed at strengthening systems, structures and practices for generating and applying knowledge and lessons from field experience.⁵
- 1.2 The theme of capacity development was selected in the joint UNICEF EAPRO / ROSA Regional Management Team meeting of November 2010. The choice of focus for the evaluation relates to the prevalence of capacity development as a strategy in UNICEF's programming and the importance of national capacity development to UNICEF's mandate. Also in the wider arena of international development there is enhanced attention to capacities and capacity development. It has been recognised as a critical issue in aid effectiveness reviews⁶, reflected in and further enhanced by the Paris Declaration on Aid Effectiveness⁷ and the Accra Agenda for Action,⁸ underscored by the UN General Assembly⁹ and endorsed by the UNDG as one of the five principles of programming¹⁰. A regional focused thematic evaluation is meant to further enhance the understanding of UNICEF's practice and results in the field of capacity development and to inform its programme strategies.
- 1.3 Capacity and capacity development have been important concepts in international development from the 1980's onwards. Notwithstanding the importance of capacity issues and capacity development as intervention, there has been no agreement on a common definition neither of capacity nor of capacity development. Definitions used by the OECD, UNDP and WB vary, though they all include three levels of capacities and capacity development, i.e. individual, organisational and societal levels (see box 1 for details).

Box 1: Three Levels of Capacities and Capacity Development

Societal or Enabling Environment Level

Policy framework, legislation, allocation of public resources, societal norms

Organisational, Institutional and Community Level

Procedures, frameworks, management systems of organisations and institutions including government, civil society, private sector and local communities

Individual Level

Skills, knowledge, experience, attitudes and beliefs

⁴Economic and Social Council, *UNICEF Evaluation Policy*. 2008.

⁵*The UNICEF medium-term strategic plan, 2006-2013; Investing in Children: the UNICEF contribution to poverty reduction and the Millennium Summit agenda*, September 2005. In the Regional Office Management Plan of 2010-2011 the target for thematic evaluations in the Asia-Pacific region was set to 2 annually.

⁶ OECD DAC, *The Challenge of Capacity Development, Working towards Good Practice*. Paris, 2006. Capacity development has been recognised in the latest evaluation of the Paris Declaration as a pre-requisite for further enhancing aid effectiveness Wood, B. et.al. *The Evaluation of the Paris Declaration, Phase Two, Final Report*. Copenhagen May 2011.

⁷*The Paris Declaration on Aid Effectiveness*, 2005.

⁸*Accra Agenda for Action*, 2008.

⁹The triennial comprehensive policy review of operational activities for development of the United Nations system (resolution 62/208 of 19 December 2007) recognised the importance of capacity development and ownership of national strategies to achieve development goals. See also the Report of the Secretary-General of 12 February 2010 (A/64/665) Keeping the promise: a forward-looking review to promote an agreed action agenda to achieve the Millennium Development Goals by 2015.

¹⁰ The five principles consist of three normative principles i.e. human rights and HRBA, gender equality and environmental sustainability. Capacity development is one of the two enabling principles, with the second being results-based management. UNDG, *Guidance Note, Application of the Programming Principles to the UNDAF*. January 2010.

- 1.4 A new consensus has emerged around the idea that capacity development needs to be a country driven and owned process in which donors and other development partners can play a supporting role. This has been articulated in the Paris Declaration on Aid Effectiveness.¹¹ Furthermore, identifying the type of capacities to develop needs to be based on the analysis of the context, with an aim to find a 'best fit' approach.¹² The recognised importance of capacity development for poverty eradication and development is in contrast with the results of initiatives in that field, which have reportedly fallen behind expectations. It appears that the objectives of developing capacities are not easily achieved. Some of the reasons identified are the lack of clarity of the concept itself, the existence of many approaches towards capacity development and the fragmentation of efforts to develop capacities, with lack of a comprehensive and sustained approach.¹³
- 1.5 In UNICEF's 2009 Annual Report to the ECOSOC, the following definition of capacity development is provided:¹⁴
- A process over time through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to achieve their own development objectives, defined within norms of human rights and gender equality.*
- 1.6 In this definition, UNICEF recognises the three levels of capacity which have been identified by the UNDG (detailed in box 1). UNICEF's definition is distinct in that it identifies the development objectives in terms of human rights and gender norms and in this way makes a clear connection between capacity development and a rights-based approach.¹⁵
- 1.7 There is no overall capacity development framework in UNICEF that specifies how UNICEF inputs and activities lead to changes in the situation of children and women through changes in capacities at individual, organisational and enabling environment level.¹⁶ Capacity development is integrated into the Human Rights-Based Approach to Programming (and related framework) which suggests that existing capacities of both duty bearers and rights holders need to be analysed and that identified capacity gaps need to be addressed by relevant programmes. UNICEF has since then further detailed the concepts of capacity and capacity development.¹⁷
- 1.8 Capacity development is central to the operational activities of UNICEF and the wider UN System. Within the UN there is an agreement on a set of issues around capacity development, including the importance of country ownership, the need for inter-agency information sharing on initiatives, the need for sustainability in capacity development initiatives, the importance of developing country capacities to better utilise the various aid modalities and the need for UN agencies to report on capacity development activities in their routine reporting (for details see Annex 3).¹⁸

¹¹ The Paris Declaration on Aid Effectiveness, 2005.

¹² OECD DAC, *The Challenge of Capacity Development, Working towards Good Practice*. Paris, 2006.

¹³ OECD DAC, *ibid*. See also: World Bank Institute, *The Capacity Development Results Framework. A Strategic and results-oriented approach to learning for capacity development*. June 2009. Moreover, till the early 2000's there has been a reported lack of evaluations to assess the extent to which capacity development leads to an improvement in organisational performance. *Evaluating Capacity Development, Experiences from Research and Development Organisations around the World* (2003).

¹⁴ Economic and Social Council E/2010/6 E/ICEF/2010/3, 16 November 2009.

¹⁵ Various experiences with capacity development in UNICEF have been brought together in the UNICEF Practice Newsletter, March 2011 on Capacity Development

¹⁶ A figure on accountabilities in the UNICEF's PPP Manual merely depicts that inputs, through changes in national capacities to respect, protect and fulfil children's rights, result in changes in the situation of children and women in a specific country context. The figure does not provide details on capacity development as such and does not distinguish between the various levels on which it can take place. UNICEF *Programme Policy and Procedure Manual, Programme Operations*. 2007.

¹⁷ E/ICEF/2010/CRP.20 3 August 2010, UNICEF Oral Report background note, *The approach of UNICEF to Capacity Development*. The oral report was finally presented during an informal consultation on CD on 21 October 2010.

¹⁸ General Assembly Resolution 59/250. *Triennial comprehensive policy review of operational activities for development of the United Nations system in UNDP, UNFPA, UNICEF and WFP, Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF and WFP 20 and 23 January 2006*. United Nations. Background Document. UNDG, *A Collective Approach to Capacity Development*, 2009 (slideshow).

Evaluation purpose, objective and scope

- 1.9 The present thematic evaluation on capacity development in the Asia-Pacific region is meant to inform UNICEF's strategic use of capacity development in programming, in terms of approaches, key issues and options, at regional and country office levels. The evaluation is meant to enhance the use of a common perspective based on and informed by learning obtained in the region so far. Evaluation results are, moreover, expected to contribute to aspects of monitoring and evaluation of capacity development initiatives in UNICEF.
- 1.10 Expected users of the evaluation results include the Regional Directors, Management Teams and Advisers of the South Asia and the East Asia and Pacific Regional Offices, and Asia Pacific Shared Services Centre, UNICEF country office SMTs and programme staff and partner agencies in Asia-Pacific. UNICEF's Executive Board, donor agencies and UNICEF staff in the wider organisation are potential users of the evaluation results. With national capacity development at the core of UNICEF's work¹⁹ and the lack of clear organisational guidance regarding capacity development as an approach in UNICEF's programming,²⁰ the time appears right for a forward looking evaluation.
- 1.11 The Thematic Evaluation has two main objectives:
1. To determine the extent to which UNICEF has been effective in delivering capacity development support in the region and the extent to which the capacity development support has contributed to results towards the realisation of the rights of children and women.
 2. To identify strategic issues and options that will allow UNICEF to better support capacity development in the region. To this end, the evaluation is expected to derive recommendations and to distil lessons towards:
 - a. Improving strategies and approaches for capacity development support;
 - b. Strengthening UNICEF's strategic positioning within various national contexts, and its comparative advantage in supporting capacity development
- 1.12 The evaluation made use of the OECD DAC evaluation criteria, though with the exception of the criterion of impact, as the approach of the present thematic evaluation is formative and geared in particular towards identifying good practices and lesson learning in capacity development as outlined in the TOR. This cannot be easily combined with the methodological requirements of impact evaluation. Evaluation questions for each of the four DAC Evaluation criteria are detailed in Annex 4.
- 1.13 The approach of the evaluation used a combination of desk review and selected country case studies (see methodology below). Focus of the evaluation was on UNICEF's practice of capacity development at country and regional levels in order to generate lessons on strategic and implementation aspects that can inform programming within the region. The evaluation as such is not meant to be comprehensive, covering all aspects of UNICEF's support to capacity development in the region. The evaluation covers selected past and current initiatives related to capacity development undertaken by UNICEF in the period 2007 – 2010. Focus includes regional support provided to capacity development programming.
- 1.14 A framework for capacity development approaches was developed for the purpose of the evaluation, based on the desk review. This framework, together with other aspects related to the scope of the evaluation, is presented in Annex 4.
- 1.15 The object of the evaluation concerned UNICEF's programming on capacity development in the Asia-Pacific region, in particular in the four selected countries. UNICEF programming is guided by the Mid Term Strategic Plan (MTSP), an outline of which is presented in Annex 5. In addition, results frameworks of individual projects and programmes as well as sector and country office level results frameworks were used.

¹⁹ As highlighted in UNICEF's Mission Statement, the 2006-2013 Medium Term Strategic Plan, the Programme, Policy and Procedures Manual and country programme documents.

²⁰ Idris, Iffat. *UNICEF: Approaches to Capacity Development, Desk Review Report*. September 2009.

Methodology

- 1.16 The thematic evaluation consisted of various stages in which existing documentation was reviewed, briefing and de-briefing meetings conducted, data gathered from a variety of stakeholders and analysed, draft and final reports written and evaluation results presented (for methodological details in the various stages of the evaluation see Annex 6).
- 1.17 In addition to the desk review, four country case studies were conducted in order to substantiate the evaluation with work that UNICEF supports at country level in the Asia-Pacific region. For the selection of UNICEF country offices, use was made of a set of criteria including the implementation of capacity development initiatives at multiple levels, the targeting of both duty bearers and rights holders, and the coverage of different contexts in the region. Selected countries included India and Bangladesh from the South Asia Region, and the Philippines and Myanmar from the East Asia and the Pacific Region. Given the great variety of country contexts in both regions, selected countries cannot be expected to represent the region as a whole but they rather reflect sets of conditions, practices and trends that exist in various parts of both regions (selected details of the context in each of the country case studies are presented in Annex 7).
- 1.18 Within each country, the evaluation team visited the country office and a selected State or field office. Country case studies lasted for a five day period each. The evaluation team applied an appreciative approach, valuing what has been achieved so far, probing good practices and challenges faced, as well as examining the contexts in which these occurred, and looking for the reasons for success and less successful initiatives (good practice examples are presented in Annex 8). The main data gathering instruments used at country level included a desk review, semi-structured interviews and focus group discussions. As part of the desk review, Mid-Term Review reports and evaluations conducted on capacity development initiatives were reviewed for each selected country (an overview of the documentation consulted is presented in Annex 9).
- 1.19 The evaluation team consisted of two persons and was gender balanced. The team adhered to the UNICEF / UNEG Evaluation Standards and Norms, in order to ensure a high level of quality of the evaluation process.²¹ The evaluation was conducted by the same two-person team in each country, which enhanced the comparability of methods applied, of data gathered and of the analysis conducted in the various locations. This has enhanced the quality of the evaluation results.

Limitations and Constraints

- 1.20 The presented methodology has several limitations. One of these is related to the limited coverage that the evaluation team was able to reach given that only five days were allocated for each country case study. This is countered on the one hand, by the detailed desk study conducted at the outset of the evaluation and which included country specific documentation, and on the other hand, by the focus in each country on sector and thematic issues as well as on selected initiatives in one field office. The short timeframe for the country case studies also meant that the coverage of stakeholders was not always as diverse as would have been considered ideal.
- 1.21 The evaluation does not include an assessment at programme level of the impact of initiatives for children and women, in line with the TOR. As such, the set-up of the evaluation is limited to the results of capacity development initiatives, in particular in terms of changes in capabilities of organisations and individuals and the related changes in performance, looking at what works and what does not work under what kind of contextual conditions.
- 1.22 In Bangladesh the team was confronted with a general strike during the first day of the visit. As the strike was announced beforehand, telephone interviews with selected UNICEF staff were organised for that day and the country visit schedule could be implemented as planned.

²¹ UNICEF *UNICEF-Adapted UNEG Evaluation Report Standards*. July 2010; United Nations Evaluation Group *Standards for Evaluation in the UN System*, April 2005 and United Nations Evaluation Group *Norms for Evaluation in the UN System*, April 2005.

2 UNICEF'S PRACTICE IN CAPACITY DEVELOPMENT SUPPORT

- 2.1 UNICEF's practice in support to capacity development is discussed making use of the evaluation framework that was prepared during the desk review of the present thematic evaluation (the framework is presented in Annex 4). The framework includes the context in which initiatives are implemented, ownership of initiatives, ways of engagement, and whose as well as what capacities to build. To the extent of possible these issues are discussed at the various levels at which capacity development initiatives are implemented. Moreover, cross-cutting issues are discussed such as gender, equity, process issues and the use of a project versus a programmatic approach. Regional support to capacity development is also reviewed.
- 2.2 Although there appears to be a shared agreement among most staff met during interviews that capacity development is not limited to training, there is no common understanding on what capacity development actually is, and what kind of approaches are most effective to support it. Also, the terms capacity and capacity development are used in a variety of ways in UNICEF reports and other documentation, with usually a focus on the individual and organisational levels, often at the exclusion of the enabling environment. UNICEF's definition of capacity development, which was included in the 2009 UNICEF Annual Report to the Economic and Social Council²², is not well known by staff in the region. Their use of the term capacity development, in speech and documentation, is often not fully in line with the official definition, nor is reference usually made to it.

Context

- 2.3 The context matters in capacity development and it can be a constraining factor or present opportunities. UNICEF appears well aware of the context in which it operates, in particular at national level. When dealing with capacity development issues, UNICEF is responsive to contextual changes, both in terms of taking advantage of opportunities as well as addressing constraints. The organisation makes use of its presence at national and local level to monitor the context in formal as well as informal ways with a view to informing its programme strategies and implementation.
- 2.4 The Asia-Pacific region is large and very diverse, and country contexts in the region vary widely in terms of geography as well as socio-economic setting. The countries selected for the case studies reflect to a certain extent such diversity as they present vast differences in terms of population, social/cultural aspects, economic development, poverty characteristics, and conditions of children and women. Moreover, UNICEF offices in these countries differ in size and history as well as in the details of their programming.²³
- 2.5 Aspects of the geographic, economic and social context can provide constraints as well as be conducive to capacity development. The rapid economic development in India, at a rate of around 7 % over the last couple of years and the subsequent growth of the national budget, provides a conducive environment, with the GOI availing resources for scaling up initiatives. A vibrant and large civil society in India, the Philippines and Bangladesh enhances opportunities for capacity development, through work with rights holders on issues related to the demand for quality social services. However, with NGOs in Bangladesh fulfilling some of the roles that government agencies would normally play, this has at times proven to be a disincentive to the development of government agencies' capacities. Opportunities for capacity development can also arise from unexpected events, such as the cyclone Nargis and the ensuing disaster response in Myanmar, which contributed to the Government becoming more open to international support and improved coordination mechanisms between the GOUM and development partners.
- 2.6 The context can also prove to constrain opportunities for capacity development. The geographical conditions of the Philippines with its population spread over a myriad of islands and problems of accessibility to parts of the country are a constraint to capacity

²² Economic and Social Council E/2010/6 E/ICEF/2010/3, 16 November 2009

²³ Further contextual details of the case study countries are provided in Annex 7.

development. Moreover, political issues hamper capacity development including the on-going conflict situation in Mindanao, the largest island of the archipelago. The political context and the relative international isolation of the GOUM proves challenging in Myanmar. The opportunities for capacity development programming are further limited by the fact that various donors have put in place conditionalities regarding the use of their funds, which should not be directed towards the development of Government capacities. On the other hand, the absence of International Finance Institutions in Myanmar has left a vacuum at the enabling environment level creating opportunities for UNICEF to move upstream, though within an overall constrained political context.

- 2.7 There are various instances in which UNICEF has used emerging opportunities for capacity development, in particular at the national level. The UNICEF India Country Office is in the process of making an inventory of good practices and lessons learned. These could be scaled up making use of Government funds. Responsiveness at national level was further shown by UNICEF India's response to the "Right of Children to Free and Compulsory Education (RTE) Act" which was passed on 1st April 2010, translating the Constitutional provision under Article 21-A into a justiciable right for children in India²⁴. This act shifted responsibilities for education, making both national and local authorities responsible for providing access to quality education. UNICEF reacted upon the passing of the RTE Act by providing specific support to public awareness raising on the right to education and with focused technical support to child tracking and information systems, based on a request from the Government. This was made possible thanks to the close working relationship of UNICEF with the Ministry of Education.
- 2.8 The decentralisation process, which is more pronounced in the Philippines and in India, provides new opportunities for capacity development at sub-national and local levels. UNICEF provided support to develop individual and organisational capacities in both countries, tailored to local circumstances.
- 2.9 All countries appear to be disaster prone, in particular to floods and typhoons which are likely to increase in frequency and intensity due to climate change. This means that there is a need to pay sufficient attention to emergency preparedness and disaster risk reduction as part of capacity development initiatives, which are becoming increasingly important aspects of programming in the region.

Ownership of Initiatives

- 2.10 Government ownership of development initiatives is paramount as reflected in the Paris Declaration and the Accra Agenda for Action, to which UNICEF, as part of the UN, has subscribed. Ownership is particularly important for capacity development to succeed and the process of developing capacities is meant to be an internally driven, *endogenous* endeavour. Overall, UNICEF programmes at national level are characterised by strong ownership. In the case of initiatives linked to international rights and standards promoted by UNICEF under its mandate, Government ownership usually develops over time, enhanced by UNICEF's advocacy efforts. At local level, capacity development initiatives can be more effective and further enhance ownership when they are linked to on-going change management processes. However, connections between capacity development initiatives and internal change management processes of organisations are usually weak or non-existent.
- 2.11 All country cases provide many examples of national level ownership. In India, UNICEF support is provided primarily to the implementation of GOI flagship programmes. High levels of country ownership could be observed in the EPI, Vitamin A and de-worming programmes in Bangladesh. The GoB has funded a large part of the EPI intervention, provided the necessary human resources and has integrated the health initiatives into a broader child health strategy. In Myanmar, the Supreme Court has benefitted from technical advice and support provided through the multi-stakeholder Juvenile Justice Group. By 2009, the Supreme Court had lobbied for and successfully absorbed the Group into its own system. Following the promotion of the 'Child Friendly Movement' in the Philippines, the Government

²⁴UNICEF India, *Country Office Annual Report for India, ROSA*. 2011.

produced a planning document in response to local Governments' request to enable them to integrate children's rights in their respective programmes. Both the Secretary of the Department of Interior and Local Government and the Secretary of the Department of Social Welfare and Development endorsed this high profile document²⁵.

- 2.12 These and other initiatives are not always owned by countries from the start and there can be a tension between Government ownership and the role of UNICEF to uphold children's and women's rights in accordance with international rights conventions and standards. UNICEF and other organisations play a role in promoting particular agendas and initiatives related to their mandates. For example, in the Philippines and in Myanmar, UNICEF has over a number of years successfully advocated for Early Childhood Development to be taken up and supported by Government. However, ownership is not necessarily limited to the Government and initiatives often need to be owned by the people at local level as well. In the case of the ECD initiatives in Myanmar, in order to be successful at local level, UNICEF also needed to direct its advocacy towards parents and civil society organisations.
- 2.13 When analysing ownership of initiatives supported by UNICEF and other development partners, it is important to examine the extent to which capacity development processes in organisations are genuinely endogenous as well as the extent to which support is linked to on-going internal change processes in relevant departments, agencies and organisations.
- 2.14 A considerable amount of endogenous change appeared to be taking place in government agencies in the selected country case studies. For instance, the main counterpart of UNICEF in India for example, the Ministry of Women and Child Development, was established in 2006²⁶ and given a high profile with the addition of several high level positions over the last two years including two additional Secretaries, two additional Joint Secretaries and several Directors. With regards to partners and their aptitude for creating internal changes, the experience of *Yinthway* Foundation in Myanmar is noteworthy. UNICEF initially assessed *Yinthway* Foundation when it started a partnership with this NGO working on ECD. Since then, the foundation has grown in revenue, donor credibility and internal capacity to manage multiple training projects. However, in the absence of follow-up assessments, these organisational changes are not adequately captured by UNICEF and hence, not sufficiently reflected in project and programme implementation.

Process Issues

- 2.15 Although there is an increasing awareness of the importance of the process in capacity development, aspects related to the process remain overall undervalued in many of UNICEF's capacity development initiatives. Heightened attention to the process can enhance the quality and sustainability of results of capacity development initiatives.
- 2.16 In UNICEF, capacity development is mostly regarded as a strategy in order to reach results for children and women. The process of developing capacities and related intermediate results are normally not clearly articulated in project and sector level results frameworks. Attention to the process itself means considering capacity development both as a means to reach a goal as well as a goal in itself. This is happening in some cases in UNICEF in the Asia-Pacific region. UNICEF India for instance, supports the development of capacities of governmental and non-governmental training organisations, being aware that enhanced capacities of such organisations can be of value to the development process.
- 2.17 The development of the National HIV/AIDS Strategy in Bangladesh is particularly instructive in this respect. Rather than having a consultant produce a national strategy, UNICEF Bangladesh hired a team comprised of an HIV/AIDS adviser and a capacity development specialist to support the National Programme Manager and team of the Government-led National AIDS and STI Project (NASP)²⁷ to conduct a functional gap analysis. Based on the findings of such analysis, a costed operational plan was developed, which was approved by the GOB. Discussions with NASP revealed strong ownership of the HIV/AIDS strategy itself,

²⁵ Mainstreaming Child Rights in Local Development Planning: A Guide to Localising CHILDRIGHTS 21

²⁶ From being a Department before

²⁷ The NASP is the mandated coordination body for HIV/AIDS programs within the country

as well as of the strategic planning process throughout which stakeholders were engaged. This meant that not only was a strategy in place, but it was fully owned as the capacity to develop such a strategy had been built into the process. (Further details of the strategy and its development can be found in Annex 8).

Focus of Support

2.18 UNICEF has adapted its support from a past of working mostly on direct implementation towards providing support to capacity development of counterpart organisations. Although a substantial amount of UNICEF's support remains directed towards capacity development at the individual level, there is a trend to increasingly address the organisational and enabling environment levels. From mainly working with government partners, UNICEF has diversified its partnerships and is working with international as well as national NGOs, trusts/foundations, academic institutions and networks in the various countries, addressing the demand for social services as well as the supply side. This process is moving at a different pace in various parts of the Asia-Pacific region. UNICEF's support to each of the three levels of capacity development will be reviewed in further detail below.

Support at the individual level

2.19 Across the various sectors, training remains an important part of UNICEF's capacity development support in the period under review.

2.20 Capacity development at individual level includes, among others, training for midwives in the health programme, training on child friendly schools for teachers, school directors and members of parent-teacher committees in education programming, training on child protection for judges, prosecutors, police officers and social workers, training to enhance a child focus and related ethical concerns in news gathering and reporting to journalists and training of child journalists to enhance children's voices in the media.

2.21 As part of the baseline findings of the Oxford Policy Management study²⁸, commissioned by UNICEF India, it is stated that:

"Training is still predominantly the Capacity Development instrument of choice. (...) For Government partners, capacity development simply means training."

2.22 The report further doubts the effectiveness of the use of cascade training by UNICEF in India and calls the approach to capacity development as opportunistic rather than strategic.

2.23 Training practices within UNICEF vary widely. In many cases training was conducted as a one off activity, with no follow up provided in terms of either refresher training or other type of support to maintain participants 'knowledge and skills over time. Examples of this were found in all four country cases and in all sectors, such as in the child protection sector in the Philippines (i.e. Council for the Welfare of Children), income generation training for families of child soldiers in Mindanao and health training of Nurses and Midwife Association in Myanmar. Such one-off technical training without follow-up proved overall less effective than multi-faceted training, addressing technical as well as functional skills, training that is followed up with refresher courses or training combined with other types of support. Results, moreover, tend to be enhanced when training is not limited to single parties but covers a range of stakeholders. This is the case, for example, in UNICEF's Child Friendly School programming in which training reaches out to such as teachers, school directors, school managers, and members of PTAs. Training of stakeholders as a group can further improve their functioning as a team and enhance their mutual understanding and cooperation.

2.24 In the Philippines, the training on the investigation of Crimes against Women and Children provided Philippines National Police Officers (PNP) with the knowledge and skills required in all phases of investigations, including forensic interview and testifying in court. The

²⁸Oxford Policy Management, *Formulation of Capacity Development Framework for UNICEF India. Capacity Development Framework and Plan of Action*. November 2009

participants changed behaviour by handling cases of women and children with more sensitivity, but also conducted 'echo'-trainings for almost 900 additional PNP Officers.²⁹

- 2.25 In support to ECD in the Philippines, UNICEF combines training on technical aspects of ECD with advocacy towards LGUs and communities to set up *Barangay* level centres and home based facilities. At national level, support is provided to the development of curriculum standards for relevant centres and to the preparation of guidelines for licensing of day care centres. Working at multiple capacity levels means that a variety of challenges and constraints can be addressed, rather than focusing on a single aspect.
- 2.26 One important limitation to the training approach is the selection of trainees, which is often beyond the purview of UNICEF. In the case of the training course on child soldier recruitment in Myanmar, UNICEF staff was unable to influence the selection of government trainees, due to political sensitivities. Officials with authoritative power and/or the motivation to foster policy changes were not adequately represented as trainees in the courses and results of training investments remained sub-optimal. While UNICEF needs to be receptive to political sensitivities, it needs to be aware that a curtailment of its role as training manager will negatively impact upon training results.

Support at the organisational level

- 2.27 There is a growing awareness among staff that capacity development entails more than the supply of a set of training courses if improvements in the lives of children and women are to be achieved. The focus of country offices' capacity development support has shifted increasingly towards the organisational level, targeting both duty bearers and rights holders. Duty bearers include government organisations but also parents and community members in their role as caretakers of children. In its support to rights holders, UNICEF focuses on national and local civil society organisations, in various cases with the assistance of international NGOs. UNICEF has changed its approach to training by focusing on capacity development of training providers. This more systemic orientation of UNICEF's capacity development work has produced considerable leverage in various instances.
- 2.28 In India, the "Changing Gears" report³⁰ conducted in 2010, assessed UNICEF's agenda of moving upstream and paying more attention to systems strengthening as part of capacity development. This study found that systems' strengthening was highly prioritised across work plans, but it also highlighted that there is not yet a common understanding among staff on the approach to be used.
- 2.29 This more systemic approach to capacity development is increasingly reflected in UNICEF's approach to training, with UNICEF developing capacities of training providers in order to improve their regular training programmes, rather than merely contracting them to provide specific training courses as part of a UNICEF supported project or programme. UNICEF works with a teacher's training college in India, and with pre-service and in-service education training programmes in the Philippines, supporting amongst others, the development of curricula. Attempts are on-going to work with the teachers' training college in Myanmar, though, in this specific context, the process takes longer as UNICEF has to deal with more constraints. UNICEF's systemic approach is also reflected in its support to the development of diploma and certificate courses, thus putting in place systems that will develop individual level capacities in the longer term. This is the case in the Philippines (child protection) and in Myanmar (social work). This approach is also adopted by UNICEF in its support to evaluation courses developed with BRAC in Bangladesh and with ISB in India. Training activities are undertaken as part of the country offices' strategies towards developing national evaluation capacity targeting in particular Government officials.
- 2.30 UNICEF India also supports Yashada, a government based training organisation in Maharashtra State, to provide training to Government officials and develop their capacities on a range of topics. In the same State, UNICEF supports the training NGO SPARSH, who

²⁹ UNICEF Mid-Term Review of the Child Protection Training Programs, May 2007.

³⁰ Geeta Unnikrishnan, *Progress on Indicators on Changing Gears, 2009-2010*. May 2010. (Draft Report)

complements Yashada. Thanks to its credibility as a capacity development agency with strong participatory accountabilities, SPARSH was asked by the Registrar General of India to support the implementation of the Indian census in the whole country. It provided training for 54,000 trainers who in turn trained 2.7 million enumerators with the support of 27 NGOs. Moreover, SPARSH's gender sensitive approach has helped to engender the census by integrating gender disaggregated data into the format.

- 2.31 In addition to working with Government, addressing capacity issues related to service delivery, UNICEF is increasingly working with civil society organisations on the demand side across the various sectors, though to varying extent. In education programming for example, there is an enhanced focus on mobilisation for and awareness raising on education at the community level as well as with civil society organisations and parliamentarians. In this way, a wider demand for education is being supported. In various country offices there is also a linkage with social protection, with cash incentives containing a set of conditions including schooling of children.
- 2.32 When supporting Government as well as civil society organisations in capacity development, UNICEF tends to focus on the development of technical capacities with less attention to systemic capacity development of organisations, such as human resource management, financial management or support to internal change management processes or to staff incentive systems. One exception is UNICEF's systematic support to monitoring and evaluation capacities. However, even support to M&E is primarily concerned with technical aspects rather than functional issues like human resource management or structural aspects such as the location of monitoring and evaluation functions within an organisation. When UNICEF does pay attention to financial management capacities of civil society organisations, it is usually limited to the partner organisations' capacity to comply with UNICEF financial requirements, rather than developing organisations' own financial systems and fund raising capacities.
- 2.33 Working on capacity development of both duty bearers and rights holders can be a difficult balancing act. This is particularly true in Myanmar, where UNICEF mainly works with GOUM and its work with civil society is, at times, regarded with suspicion by the Government. Being seen as having a too close relationship with (parts of) civil society could, adversely affect UNICEF's relationship with the Government. Also in Bangladesh and India, despite more favourable circumstances, working with both Government and civil society organisations needs to be carefully handled.
- 2.34 In addition to support provided to governmental and non-governmental organisations, part of UNICEF's work is conducted at the community level. In this respect, UNICEF uses Communication for Development (C4D)³¹ with a variety of communication approaches³² to facilitate behavioural and social change at the local level. The rationale for integrating C4D in UNICEF programming is that, for children to reach their full potential, their families and communities need to have the capacity to make informed decisions on issues that affect the children's lives and well-being, as well as their own. In line with the above, it focuses on caretakers and communities as duty bearers towards children. C4D principles and methodologies are being applied across the sectors, for example in projects and programmes related to child immunisation, HIV/AIDS, polio eradication, child protection, exclusive breastfeeding or hand washing. In several country offices, communication units have been set up while previously communication staff were part of sector teams. UNICEF works through local NGOs in many of the Behaviour Change Communication (BCC)

³¹In UNICEF C4D has been defined as "a systematic, planned and evidence-based process to promote positive and measurable behaviour and social change that is integral to development programs, policy advocacy, humanitarian work and the creation of a culture that respects and helps realise human rights." FAO, ILO, UN AIDS, UNICEF, UNDP, UNESCO and WHO, *Communication for Development. Strengthening the effectiveness of the United Nations*. 2011.

³²UNICEF and other UN agencies identify four main 'strands' in C4D including: (i) behaviour change communication (messages and approaches to encourage appropriate behaviours, making use of a mix of communication channels); (ii) communication for social change (informing collective community action for long-term social change); (iii) advocacy communication (organise action for change in governance, power relations, social relations or institutional functioning); (iv) strengthening and enabling media and communication environment. (Ibid.)

initiatives. With UNICEF often regarding these local NGOs as short term sub-contractors, rather than partners, the opportunities to build their systemic capacities seem limited.

- 2.35 A clear example of use of behaviour change communication in community based work is the SHEWA-B programme in Bangladesh³³. This hygiene promotion programme is a large scale project in WASH which does not focus on the provision of hardware, but rather on the behavioural aspects required for changes to materialise in health. Another example is UNICEF's Positive Deviance project in Bangladesh which makes explicit use of existing capacities of community members in order to address malnutrition.
- 2.36 UNICEF India supports the community based total sanitation approach with policy advocacy at national level and support at state level. This programme has a strong attitudinal and behavioural change component and has moved away from a supply oriented approach – which had resulted in toilets being provided but not necessarily used in practice - to a demand driven approach, making use of the total sanitation concept. The initiative is further supported through a WATSAN network in which local participants at State and national level meet on a regular basis by virtual means and conduct exchange visits between States.
- 2.37 UNICEF India's approach to capacity development in the area of C4D has become more systemic through the inclusion of a training course on C4D in a University curriculum. Also, BCC cells have been established, with the use of local funds, in targeted districts of UNICEF's Integrated Districts Approach Programme. The aim is to promote more effective BCC planning and communication across the various sectors concerned.

Support at the enabling environment level

- 2.38 In all country case studies, policy analysis and advocacy has become an important part of UNICEF's programming. Even under difficult political conditions, such as in Myanmar, policy advocacy plays an important role. The enhanced attention to policy advocacy is underpinned by the support to national and sub-national level monitoring of the conditions of children and women through the MICS, focused studies and knowledge products on key issues. Use of MICS data, which is owned by Government, enhances the credibility of advocacy initiatives.
- 2.39 Policy advocacy, dialogue and leveraging are part of one of the key result areas of the UNICEF's fifth MTSP Focus Area: *Policy Advocacy and Partnerships for Children's Rights*. This is meant to be informed by strategic information as well as by research and policy analysis on the situation of children and women, which are two other result areas under the same MTSP Focus Area³⁴.
- 2.40 Policy advocacy can be conducted in a variety of ways. In the Philippines, there is a history of UNICEF working on national legislation and policies. Recent examples illustrating this are the Revised Implementing Rules and Regulations of Milk Code (2006-7) and the Anti-Child Pornography Act (2009). UNICEF also supported the 'Child Friendly Movement', which promoted a more supportive environment for children to realise their rights³⁵. This work on policy advocacy needs to be understood in the context of the Philippines, which has been a Middle Income Country for the last few decades, a context in which UNICEF's role usually tends to be more upstream.
- 2.41 UNICEF India's approach to advocacy includes the promotion of models and pilots that have been tested and proven useful, to be taken up by the Government as part of the country's social flagship programmes. For this purpose, an inventory of models and pilots had been compiled at the time of the evaluation. The Government of India appears keen to scale up interventions that work, and with the country's economic growth over the past few years, it allocates an increasing budget to do so. In India, models need to be tested on a substantial scale in order to be relevant and of interest to the Government. This is usually the case of UNICEF India's models and pilots. Pilots were also extensively used by UNICEF Philippines

³³ The SHEWA-B programme is supported by UNICEF and funded by DFID Bangladesh.

³⁴ United Nations Economic and Social Council, *The UNICEF medium-term strategic plan, 2006-2009. Investing in children: the UNICEF contribution to poverty reduction and the Millennium Summit agenda*. July 2005.

³⁵ Universalis, *UNICEF Philippines Country Program Evaluation. Final report*. August 2010.

in its 5th and 6th CPC which were based on the 'Child Friendly Movement' concept focusing on institutional and system level changes.

- 2.42 In Bangladesh, UNICEF's policy advocacy work was mainly directed towards the national level, aiming for a blanket geographical targeting of underserved and least performing districts and *upazillas*³⁶ in order to accelerate progress towards the MDGs.³⁷ UNICEF's advocacy also focused on breaking the inter-generational poverty cycle through an increase of Government resources allocated to the poorest children, i.e. urban working children, street children and orphans. This effort was assessed to require 2.4 % of the social safety budget and 0.37 % of the national budget over a ten year period³⁸. Urban slum populations in Bangladesh often live in worse conditions than the rural poor and UNICEF Bangladesh advocated for a socially inclusive urban development strategy combined with the targeting of human development in rural deprived areas³⁹. Much of the data contained in the various studies that underpin the advocacy work in Bangladesh is taken from the MICS as well as from other studies. In particular the use of the MICS data, owned by GOB, enhances the credibility of the reports in the eyes of the Government.
- 2.43 The example of Bangladesh shows that policy advocacy at national level is a strategy that is not only useful in Middle Income Countries but it can also be successfully applied in a Least Developed Country. One of the conditions for success in Bangladesh was the Government's receptiveness to new ideas to inform its mainstream programming and the allocation of resources.
- 2.44 In Myanmar, under more constrained political conditions, UNICEF has initiated work with new parliamentarians. It also provides support to CRC reporting at the national and sub-national levels. UNICEF has teamed with UNDP to support an assessment of the poverty conditions in Myanmar, in a political context in which poverty was not officially recognised as a social issue. UNICEF provided technical and financial support and a thematic paper is in preparation. Moreover, UNICEF has worked on health care financing and health insurance for poor and vulnerable households. It advocated for these issues to be considered as an important part of a social protection system. In this regard, a workshop was organised to share experiences from China, Vietnam and Lao PDR. Other initiatives included advocating for salt iodisation, minimum standards for the protection of working children and children in institutions as well as promoting the enhancement of primary education effectiveness and quality. UNICEF has also started addressing policy development through various inter-agency advocacy groups, in particular the Anti-Human Trafficking Task Force which it co-chairs.
- 2.45 UNICEF's increased focus on advocacy is underpinned by an enhanced attention to gathering data relevant to the situation of children and women and to the development of knowledge, based on these data, to inform policy discussions and advocacy initiatives at national as well as sub-national levels. On the one hand, this is done through UNICEF-supported studies; on the other hand, UNICEF actively supports the development of national capacities for data collection, management and analysis. One of the ways this is done is through the MICS data gathering exercises, which are implemented by national statistics agencies with UNICEF support. Another example is the country level situation analysis, which is often conducted before the start of a new programme cycle together with main counterpart agencies. In India, UNICEF supported the data gathering process for the 2010-2011 Census. UNICEF also supports data gathering at sector level by national and sub-national agencies. In the country case studies, there are various examples of government

³⁶ The *upazilla* is the sub-district level in Bangladesh.

³⁷ UNICEF Bangladesh, *A Case for Geographic Targeting of Basic Social Services to Mitigate Inequalities in Bangladesh*. August 2010.

³⁸ This was related to three joint projects of GOB and UNICEF Bangladesh, i.e. Basic Education for Hard to Reach Urban Working Children, Protection of Children at Risk and *Mader Shishu* (Our Children) respectively aimed at enhancing the developmental opportunities, living conditions and livelihood opportunities of urban working children, street children and orphans.

³⁹ UNICEF Bangladesh, *Understanding Urban Inequalities in Bangladesh: A prerequisite for achieving Vision 2012. A study based on the results of the 2009 Multiple Indicator Cluster Survey*. November 2010.

agencies using UNICEF supported data, such as in India where the Department of Drinking Water and Sanitation used UNICEF India data in a parliamentary debate.

Project-based versus Programmatic Approach

- 2.46 Most of UNICEF's work is conducted through distinct short-term projects which often remain 'delinked' from each other rather than being part of a connected whole in a programmatic approach. Longer term objectives can be significantly compromised by short term project management targets. UNICEF can build on experience gained in selected cases. At the same time, its longer term presence at national and local levels creates significant opportunities for longer term capacity oriented partnerships with key stakeholders.
- 2.47 Notwithstanding the long-term engagement of UNICEF in all selected countries and its substantial local presence, the project approach remains the major modality for UNICEF's interventions. There is only limited evidence of use of a programmatic approach and inclusion in a sector wide approach. This severely limits the opportunities to develop the capacities of selected key stakeholders over a longer period of time. UNICEF sub-contracts NGOs, University departments and other agencies to implement project activities and deliver related outputs. A focus on meeting short term targets can limit the ability to enhance capacities and organisational performance of NGOs and government agencies. Longer term objectives and results can be significantly compromised by Project Cooperation Agreements designed to meet end year quotas for expenditures. In two country cases, two to five months delays in finalising PCAs resulted in the loss of qualified NGO staff and significantly reduced the time for project implementation. In one country, two government counterparts and one donor corroborated the negative impact of UNICEF's management of the PCA process, resulting in loss of momentum of capacity development work.
- 2.48 Only in few cases did UNICEF use a programmatic approach. The work done by UNICEF India in Maharashtra, piloting participatory micro-planning is an example of a longer term programmatic approach, applying a holistic perspective to community development (see details in Annex 8 on good practices). In Bangladesh, the 'sector wide' approaches⁴⁰ in health and education provide examples of programme approaches in which UNICEF has played a significant role by chairing for substantial periods of time the donor consortia in both SWAps. In both sectors, UNICEF funds, which were relatively small compared to the total SWAp budget, were devoted to technical support. Although UNICEF has aligned its objectives to the sector programme, it has not pooled its funds but works through a parallel system, which was approved by GOB.⁴¹
- 2.49 Long term presence of UNICEF as well as presence at national and sub-national level opens up the possibilities for supporting the development of capacities over longer time frames at local, sub-national as well as national level. Some initiatives, such as the Community-based Micro-planning in India and the sanitation week in Myanmar provide examples of different types of longer term partnerships and engagement which can enhance programming in capacity development. A growing body of evidence, including that drawn from the experience in the four country cases, substantiates the need for UNICEF to introduce a long term perspective, with initiatives running over an increased period of time, in order to achieve capacity development objectives, in particular those targeting the organisational and enabling environment levels⁴².

⁴⁰ The term Sector Wide Approach is used, though in practice the Education SWAp did not include all parts of the sector like secondary education.

⁴¹ UNICEF regulations do not allow for un-earmarked pooling of funds: 'UNICEF is accountable to its executive Board and its funding partners for assuring quality of country programs and cannot hand over responsibility for its resources to host governments or to other partners for their unilateral decision. Resource allocations are meant to be made through a continuously consultative process which is the joint responsibility of the co-operating partners'. UNICEF *Programme Policy and Procedure Manual, Programme Operations*. 2007.

⁴² Heather Baser and Peter Morgan, *Capacity, Change and Performance, Study Report*. European Centre for Development Policy Management Discussion Paper No 59B, April 2008; Horton, D et.al. *Evaluating Capacity Development. Experiences from Research and Development Organisations around the World*. Canada / The Netherlands 2003.

Table 1: Examples of Systemic Approaches to Capacity Development in Country Case Studies

Sector/Country Office	Description
<p>Bangladesh, EPI</p> <p>Immunisation programme, GOB has taken over responsibility for implementing immunisations with a coverage of 96% (not including procurement services)</p>	<p>Technical support for performance management systems developing a strong data driven culture which permeated local to national-level management structures. The capacity development process clearly used a performance-based approach, building on <i>existing</i> capacities in incremental terms with a very strong commitment to learn from lessons.</p> <p>Long Term Partnership: EPI success has been highly dependent upon long-term, collaborative support from multiple partners/donors, recognising that system changes take time to evolve and embed within a government setting. Changes at a systemic level, developed over a period of 26 years including 10 years dedicated support from UNICEF</p>
<p>Bangladesh, Child Protection</p> <p>GOB strongly advocating for a UNICEF initiative of introducing a Children's Wing with the Ministry of Women and Child Affairs</p>	<p>Programmatic approach, advocate for and support the establishment of a new government structure and system for inter-ministerial coordination on children and women. Modality arrangements is meant to shift from a project-focused towards a programmatic and long term approach, making use of MOUs, OD support and strategic planning guidance to operationalise a new Children's Wing. Factor-in power relations: The new Wing is conceptualised to take in consideration the authoritative powers necessary for policy development, and inter/intra ministerial coordination. The Children's Wing's proposed mandate lends development partners a much needed strategic counterpart within the Ministry</p>
<p>Bangladesh, Primary Education</p> <p>Promotion of School Level Implementation Plans (SLIP)</p>	<p>Institutionalizing a funding mechanism for School Level Improvement Plans: Promotion by UNICEF of the School Level Improvement Plan (SLIP) for schools to get access to funds to conduct minor repairs and improvement to the school and learning environment. Based on advocacy, SLIP has been incorporated into the design for PDP III the third phase of the Education SWAp in Bangladesh and mainstreamed.</p>
<p>Maharashtra Sub Office India and SSPME</p> <p>Support to Training Institute YASHADA, which has become ISO accredited institution</p>	<p>Long term Partnership: Deliver capacity development through training and development of training institution. Combining the development of an NGO agency (SPARSH) with a state-government agency (YASHADA), which prove complementary and highly effective.</p> <p>Training delivery with Participatory expertise and inter-sectoral local planning: Training implementation is based on strong participatory and inter-sectoral approaches dependent upon a common understanding of gender equality and social equity.</p>
<p>India, HIV/AIDS</p> <p>Support the Establishment of district level ICTC Centres which increased from 200 in 2002, to 1150 in 2011, covering 1% of primary health facilities offering HIV/AIDS diagnosis at state level.</p>	<p>The development of new units to manage HIV/AIDS services at district level, including supporting the units with a comprehensive Modus Operandi, and management plan, in this way providing support to a structural aspect of the organisation as well as to its operationalisation.</p> <p>Systems development and training provision at an organisational level, targeting both functional and technical competencies: Adaptive and timely technical support permitted the integration of strong data management and analysis systems, and promoted new performance accountabilities for government health staff</p>
<p>Myanmar, Child Protection</p> <p>Support the establishment of a Task force to address human trafficking, with task force functioning and providing results</p>	<p>Technically relevant and facilitative guidance: Supporting government counterparts on the effective process of convening a results-based inter-agency Task Force. Assistance to a variety of aspects including legal support, setting up of the task force, training including curriculum and refresher courses through the Police Central Training Institute, development of pocket guideline book for frontline staff, support to bi-lateral high level meetings between Myanmar and China, support to victims on protection, recovery and reintegration and support to the set up and implementation of a monitoring system. Other development partners supported other aspects including prosecution.</p>
<p>Philippines, Policy Advocacy</p> <p>Support to National Policy and legislative changes</p>	<p>UNICEF Philippines has a history of contribution to the development of policies and legislative changes with the Revised Implementing Rules and Regulations of Milk Code (2006-7) and more recently the Anti-Child Pornography Act (2009)</p>
<p>Philippines, Child Friendly Movement</p> <p>Support to the Child Friendly Movement in GOP as well as schools, cities and communities</p>	<p>Child Friendly Movement with a heightened national attention to 'child friendliness' of communities, schools, LGUs, cities etc. Developed jointly by UNICEF and the Department of Social Welfare, this movement placed children at the centre of the human development agenda, surrounding them with supportive layers of local, provincial, regional and national organisations and institutions that were aware and capable of providing services to children. The initiative has a high level of national ownership, identified achievements on institutional and systems level, applied an integrated multi-sectoral approach, and included longer term commitment of UNICEF and GOP for societal level changes⁴³</p>

⁴³ Universalis, *UNICEF Philippines Country Program Evaluation. Final report.* August 2010.

Gender Approach in Capacity Development

- 2.50 Attention to gender in capacity development interventions is limited. When addressed, it is done at the project level rather than across programme components or country offices. Though some good examples of engendered initiatives exist, there is a need for UNICEF country offices to develop their capacities, both in terms of programming systems as well as in terms of staff capacities, before they can meaningfully work on gender issues with counterparts and other partners. A gender task force, which is given high profile from country office senior management, appears to be an important means to successfully embed gender equality in capacity development initiatives.
- 2.51 Gender audits provide a useful perspective on the nature and extent of change arising from capacity development interventions. Two out of four country cases conducted gender audits which surmised that gender mainstreaming, through capacity development interventions, has been achieved by a handful, but not a majority of projects and sectors.
- 2.52 A number of capacity development interventions have been conceptualised from a gender equality perspective, creating changes at individual and organisational level, such as the gender sensitisation training of police and teachers (UNICEF India). Moving upstream, capacity development tools such as the Philippines 'Crafting Children's Code and Moving Forward with Gender and Development' have been used by local legislative councils who enact local laws and budgets.⁴⁴ Overall though, implementing gender strategies in a concerted and systematic way across a country programme remains challenging.
- 2.53 Many of the recommendations for capacity development and gender mainstreaming in country reports, evaluations and gender audits are targeted at UNICEF staff while providing little attention to partner' capacity development on gender issues. This suggests a need to improve UNICEF's own capacity before it can facilitate and effectively promote engendered capacity development as well as good practices of partners and government counterpart agencies.
- 2.54 There appears to be a gap between knowledge and awareness on gender concepts and tools among UNICEF staff, with few staff relating gender analysis to the capacity development approach. As the gender audit of the Philippines puts it:
- "Most UNICEF programming systems are insufficient to ensure the quality of gender implementation, monitoring and reporting"*⁴⁵.
- 2.55 Where outcome indicators have been defined to track the progress of capacity development in either gender mainstreaming or gender equality, they are of mixed quality and often compounded making it difficult to verify and learn from them.
- 2.56 In a few country offices where a Gender Task Force has been organised and given high profile, capacity development advice and guidance to staff is evident at the programmatic and operational level. These country offices have gender focal points in programme sections with formal mechanisms for holding programme managers and section chiefs accountable for inclusion of gender and monitoring of progress. Although gender strategies are beginning to be conceptualised and developed, there is a notable absence of a corporate framework that can assist the development of an engendered capacity development strategy.
- 2.57 There is a need for UNICEF to reinforce its efforts to embed gender equality within capacity development, in all stages of the programme cycle. With gender inequality often considered as a product of unequal power relationships in formal and informal structures, UNICEF programme strategies would need to contribute to changing these relationships, an approach which would clearly relate to UNICEF's equity agenda. This vision calls for attention to longer term programmatic approaches in addition to a short term project oriented way of programming.

⁴⁴ The Gender Audit UNICEF Philippines CPC 6 May 2010: 28

⁴⁵ Ibid., pp 29

Equity Approach

- 2.58 There is an increasing focus on equity in capacity development. As part of this approach, UNICEF country offices focus on underserved areas, in line with the UNDAF when relevant⁴⁶. Also in sector programming, the equity focus becomes more apparent. The approach is underpinned by UNICEF's data collection work, including disaggregated information related to social services at sub-district level and for various programme components.
- 2.59 Aspects of equity are present at multiple levels in UNICEF's programming and the inclusion of an equity perspective in capacity development initiatives is becoming more widespread. At the country level, programming is moving towards a geographical focus on underserved areas, in various instances in coordination with other UN agencies as part of the UNDAF. The intention is to support multiple sector programmes reaching the same underserved households and to create a synergetic effect.
- 2.60 This has started relatively early in India, where UNICEF has supported the Integrated District Approach for over five years. The approach is more recent in Bangladesh, where discussions were on-going with GOB and amongst UN agencies to focus on 20 convergent districts in the next UNDAF cycle. In Myanmar, UNICEF promotes a focus on underserved townships. In the Philippines, the country office's equity focus was clearly apparent in the 6th Country Programme Document which aimed to reduce disparities between children nationally and in programme focus areas. This was enhanced by a special attention to Mindanao as an underserved area. In the various country offices, studies were conducted in order to identify areas and groups with low levels of use of social services for children and women. This provides a different perspective on poverty compared to household income related indicators⁴⁷. Programming for underserved areas often focuses on developing capacities on both the supply as well as the demand side.
- 2.61 Equity also has become more apparent at the sector programme level. The Early Childhood care and Development (ECCD) programme in the Philippines has taken a diversified approach to include underserved areas. On the one hand, the programme supports LGUs to implement the LGU code which requires the establishment of ECCD facilities in each *Barangay* and, on the other hand, it supports LGUs to setup home-based ECCD for 3 to 4 year old children as an alternative care for communities in distant and isolated locations. In education programming, UNICEF has supported governments in the collection of disaggregated data regarding the reach of services, based on the criteria of gender and other vulnerabilities.

Regional Support

- 2.62 UNICEF Regional Offices for South Asia (ROSA) and East Asia and the Pacific (EAPRO) as well as APSSC⁴⁸ provide support to capacity development programming by working on a number of issues at the regional level. These include longer term issues, such as working with Sub-Regional Associations or developing a capacity development strategy for Education in Emergencies, as well as emerging issues, such as addressing the impact of the Global Economic Crisis on children and other vulnerable groups. Work undertaken at regional level complements country office work and UNICEF needs to ensure strong linkages between the two levels in order to maximise effects on capacity development.

Addressing issues at the regional level

- 2.63 At the regional level, UNICEF works with the two Sub-Regional Associations in South and Southeast Asia, SAARC and ASEAN respectively, to put children on their agenda. This is

⁴⁶ In addition to a focus on underserved areas, other dimensions of equity include gender, ethnicity and disability.

⁴⁷ In UNICEF Bangladesh a set of four indicators was used to derive a composite deprivation index, including: Skilled birth attendance, Net Attendance Ratio in secondary education, proportion of the population using an improved sanitation facility and female adult literacy rate. UNICEF Bangladesh, *A Case for Geographic Targeting of Basic Social Services to Mitigate Inequalities in Bangladesh*. August 2010.

⁴⁸ The Asia Pacific Shared Service centre was established as an experiment in providing support services to countries in the Asia-Pacific region with a strong focus on capacity development.

part of a wider regional effort to influence policy and to create an enabling environment for the realisation of the rights of children and women in the region.

- 2.64 In response to the Global Economic Crisis (GEC) that started in 2007, UNICEF together with UNDP and other UN agencies developed and implemented an advocacy campaign to draw attention on the impact of the crisis on children and the most vulnerable people and households. As part of this initiative, the Pacific Conference on The Human Face of the Global Economic Crisis was organised in February 2010, hosted by the Government of Vanuatu⁴⁹. It was preceded by a Youth Conference to ensure that youth perspectives were reflected in the discussions at the main conference. One of the objectives of the initiative was to enhance national capacities to consider and implement policy options to respond to crises, through strengthened social protection mechanisms, effective social budgeting, improved capacity for monitoring for the vulnerable, and other measures.
- 2.65 UNICEF Pacific has, moreover, conducted the first Child Poverty and Disparity Study in Vanuatu, Solomon Islands and Kiribati in 2007-2010. Sentinel Monitoring in 6 Pacific Countries has provided policy makers with on-going monitoring data on the effects of the Global Economic Crisis and the recent food price increases on the most vulnerable communities. Countries formulated forward looking policy responses and action plans in response to the crises. The outcome document of the conference informed the Pacific Forum Leaders Meeting in August 2010.
- 2.66 UNICEF is a member of the Asia-Pacific Regional Network for Early Childhood (ARNEC)⁵⁰ which was created by UNICEF together with UNESCO, Plan International, Open Society Foundation, Save the Children and the SEED Institute. The network aims to build strong partnerships across sectors and different disciplines, organisations, agencies and institutions in the Asia-Pacific region to advance the agenda on and investment in early childhood. ARNEC covers a wide geographical area including Central, East, South and Southeast Asia and the Pacific, totalling 47 countries. The network focuses on five action pillars and though only one of them is labelled capacity development, all actually fit UNICEF's definition of capacity development⁵¹. Regional conferences and workshops have been conducted and a shared pool of technical experts has been created.

Emergency Preparedness and Response

- 2.67 In terms of capacity development of emergency programming, disaster risk reduction (DRR) and emergency preparedness are important aspects. The Inter-Agency Standing Committee has designated global 'cluster leads' for eleven sectors or areas of humanitarian activity.⁵² UNICEF leads the nutrition cluster and has a shared lead in the education and WASH clusters, while supporting child protection and gender based violence in the protection cluster.

⁴⁹ UNICEF, *Pacific Conference on the Human Face of the Global Economic Crisis, Report*. Vanuatu, February 2010.

⁵⁰ ARNEC Website at <http://www.arnec.net>

⁵¹ Action Pillars of the ARNEC include: Advocacy for Policy Change (Support national partners and members in their assessment and review of national early childhood policies, frameworks and implementation, and facilitate the exchange of models and tools from other contexts); Knowledge Generation (Facilitate the continuous analysis and synthesis of regional early childhood development (ECD) evidence and research, identify priority areas for further learning, and support strategic research activities); Information Management and Dissemination (Provide a platform for ECD professionals to share information and resources, ensuring these are easily accessible to all); Capacity Building (Provide opportunities for professional development and learning related to ECD through strategic ARNEC events, external outlets, and strengthen national networks through targeted technical support); Partnership Building (Build external partnerships and coalitions to create a supportive environment to leverage resources for ECD and ARNEC's capacity to fulfil its mission).

⁵² The aim of the approach is to strengthen system-wide preparedness and technical capacity to respond to humanitarian emergencies and to improve the effectiveness of the response by ensuring greater predictability and accountability while strengthening partnership across agencies concerned. Inter-Agency Standing Committee, *Guidance Note on Using the Cluster Approach to Strengthen Humanitarian Response*. November 2006, and *Global Cluster Coordination List* available at <http://onerresponse.info/>

- 2.68 In line with UNICEF's lead role in the education cluster and informed by a capacity mapping exercise⁵³, UNICEF APSSC developed a strategy to support capacity development in education in emergencies, which addresses all three levels of capacities and includes a results framework. The strategy is meant to be replicated at country level informed by context specific needs. It contains a useful set of capacity level indicators which is linked with the Hyogo monitoring framework⁵⁴. The development of the strategy was supported by APSSC. Further details are provided in Annex 8, where the development of the strategy is presented as a good practice.
- 2.69 In terms of UNICEF's MTSP, emergency preparedness and response is not a separate focus area but is included as a key result area in each of the sector related focus areas. UNICEF provides regional support to country offices to build their capacities in situation analysis, coordination, technical areas, and the customisation of available tools. The level of support provided by UNICEF during emergencies differs across the countries in the region. For instance, UNICEF had a considerable input in the response to cyclone Nargis in Myanmar, while it is normally not called upon by the Indian Government to respond to emergencies.
- 2.70 For emergency preparedness, UNICEF has developed the Vulnerability and Capacity Analysis tool⁵⁵ which is meant to be completed or updated with every new Common Country Assessment or new Country Programme. The tool includes the identification of hazards and the assessment of the population's ability to cope with emergencies. It is meant to support the development of strategies to strengthen the ability of vulnerable populations to cope with possible emergencies, the identification of disaster risk reduction interventions, the implementation of an early warning system including early warning indicators and the preparation of preparedness plans to facilitate the speed of an eventual response.

Box 2: Support to the development of evaluation capacity

As part of its evaluation policy, UNICEF supports the strengthening of national capacities for evaluation, and promotes country-led evaluation systems. The focus on this aspect in Asia is quite pronounced and UNICEF has supported both the demand side for evaluation as well as the supply side, making use of south-south learning in the promotion of evaluation societies and enhancing a system of country-led evaluations.

In India, UNICEF works with the evaluation office of the Planning Commission, as well as with the Indian School of Business in Hyderabad on the development of a certificate course for evaluation, which targets Government officials who commission evaluations as well as other officials and persons interested. In the Philippines, where the UNDAF includes UN support to evaluation capacity development, UNICEF focused first on creating a demand for monitoring and evaluation, and at a later stage initiated work aimed at enhancing the 'supply' side of evaluation in the country. UNICEF supported the establishment of an M&E network of government agencies and development partners, with strong participation of the GOP, in particular the M&E unit in NEDA, whose role in monitoring and evaluating international development programmes was supported in the process. Through regional support from UNICEF APSSC, officials from the Philippines were brought in contact with the Sri Lankan Evaluation Society, with a view to explore options for creating a comparable evaluation body. In this way, UNICEF supported the establishment of the organisational means to further enhance the national evaluation agenda in the Philippines. This is part of the wider support that UNICEF APSSC provides to national evaluation societies, including in Sri Lanka and Malaysia, making use of south-south learning opportunities and cooperation.

In addition, UNICEF works on the supply side of M&E in the Philippines. It has supported the development of a results framework in the health sector as part of a wider donor effort to enhance the Management for Development Results (MfDR) in the country. Based on the success of the support provided, NEDA has requested UNICEF to also assist the education sector with the development of a sector wide results framework, in order to enhance the programmatic approach. UNICEF's support has been coordinated with other development partners, including the ADB which has promoted MfDR within other sectors in the Philippines.

⁵³ Rachel Houghton, *Capacity Mapping for Emergency Education Preparedness and Response: Global Education Cluster*. Concept Note and Fuller Methodology. January 2008.

⁵⁴ The *Hyogo Framework for Action 2005-2015: Building the Resilience of Nations and Communities to Disasters* (HFA) was adopted by the World Conference on Disaster Reduction, held in Kobe, Hyogo, Japan on 18-22 January 2005. The framework was endorsed by member states in UN General Assembly to guide national and international efforts to reduce vulnerabilities and risks induced by naturally occurring hazards and human made processes.

⁵⁵ UNICEF, *Programme Policy and Procedure Manual Programme Operations*. 2007. Chapter 6, Section 2.

Regional support to country offices

- 2.71 In addition to addressing issues at the regional level, Regional Offices and APSSC provide support to country offices in terms of their programming at country and sub-national levels. Regional support, including capacity development support, is organised in accordance with the MTSP focus areas and the sector divisions at country office level.
- 2.72 Regional support has adapted to the requirements of country offices. For example, regional advisors assist UNICEF's move towards evidence based policy making. Social policy advisors support country offices with socio-economic analyses and in their interaction with Ministries of Finance on budget allocations, as this is becoming increasingly part of UNICEF's engagement at country level.
- 2.73 Regional support provided to country offices also covers the development of national capacities for monitoring and evaluation, which is an important aspect of UNICEF's work and the only functional capacity of organisations that UNICEF systematically supports. This is done, among others, by assisting the development of national evaluation societies as an important proponent for country led evaluation systems and evidence based policy making⁵⁶.
- 2.74 In the absence of designated regional advisors for capacity development, technical support on capacity development is provided by staff in each specific sector. However, responsibilities in that respect are not necessarily made explicit. Regional advisers and country office sector heads usually have a background as sector specialists, therefore details of capacity development processes and tools do not necessarily get the attention that would be required. With insufficient expertise on capacity development approaches and methodologies for the various stages of the programme cycle, at regional and at country level, it is difficult to identify and address key systemic issues, including UNICEF's own capacities.
- 2.75 Capacity development support from the regional level to country offices has been largely in the form of regional training and workshop support as well as technical field missions. The frequency and nature of training follow-up and monitoring of progress with country teams tends to be inconsistent. Evaluation and performance tracking systems are often missing in regional trainings and events. A number of regional advisers commented on the need to improve performance assessment procedures. Moreover, regional and country team roles and responsibilities have been insufficiently clarified for training-related performance tracking to take place effectively and efficiently. Capacity assessment approaches and tools are not well known amongst regional advisors. Enhancing the regional support on capacity development from an organisational change perspective, rather than only from a sector specific perspective could add value to and better inform capacity development initiatives in the various stages of the programme cycle.

⁵⁶ The importance of these issues to UNICEF is further evidenced by two publications: Segone, M. (ed) *Country-led monitoring and evaluation systems. Better evidence, better policies, better development results*. 2009; and *Bridging the gap, the role of monitoring and evaluation in evidence-based policy making*. January 2008.

3 CAPACITY DEVELOPMENT IN PROGRAMME CYCLE STAGES

Informing the Design of Interventions

- 3.1 Overall, the four country cases showed capacity development programming efforts have been more focused and systemic in nature when interventions have been analysed using formal assessment tools. Tools designed to capture information on capacity assets and gaps at individual, organisational, and enabling environment levels were found to be particularly useful for the design, management and budgeting of capacity development initiatives. Nonetheless such assessments were not regularly conducted.
- 3.2 With the exception of a handful of interviewees, a majority of people used the term 'training needs assessments' interchangeably with that of capacity analysis and assessment. Further guidance is necessary to enhance staff's understanding of the various means of analysis available to inform the design of projects and programmes. Given the predominance of training as an approach to capacity development within UNICEF, training needs assessments need to be better understood and used to inform training activities.⁵⁷
- 3.3 Training needs assessments (TNA) are not systematically undertaken within UNICEF. More often training programmes are designed based on informal means of information gathering. TNA and more generic needs assessments have on occasions been used to identify capacity development inputs at the individual and to a lesser extent, at the organisational level. At the individual level, some examples of TNA exist in the areas of child protection and education.⁵⁸ Other assessments include the study on Positive Women Networks in India⁵⁹, recommendations of which focus on the individual capacity level, and the assessment on Adolescent Friendly Access and Referral Systems in Bangladesh.
- 3.4 When capacity assessments exist, they often focus on the identification of capacity gaps at the expense of capacity assets that programmes can build upon. They also often do not sufficiently pay attention to internal capacity development processes, although linking new initiatives to existing internal change processes can enhance the ownership of these processes. Moreover, even when an assessment is conducted, a capacity response plan linked to the results of the assessment is not always developed; the linkage between the results of the assessment and the project or programme design is not made explicit.
- 3.5 UNICEF has a range of standard assessment, monitoring and review instruments that have the potential to inform the design of new capacity development projects and programmes. These include the Situation Analysis, which is usually conducted before the start of a new programme cycle, the MICS which focuses on a set of situation monitoring indicators as well as mid-term and end of term programme reviews. These standard instruments can provide details on the context, the conditions of children and women as well as on programme progress; they usually do not explicitly focus on aspects of capacity development at individual, organisational and societal level. However, details on existing capacities of target groups as well as of intermediary governmental and non-governmental organisations are required to inform the design of capacity development initiatives. Therefore, UNICEF needs to assess existing capacities on these levels to inform programme design.
- 3.6 At times, assessments conducted focus on the compliance with UNICEF's requirements rather than on the organisations' development needs. Given their specific focus, such assessments are more limited in their ability to inform programme design. This was the case with the assessments of international and local NGO training providers for a child protection programming Myanmar.
- 3.7 There are few examples of organisational level capacity assessments that have been undertaken explicitly to inform the design of capacity development initiatives. In the

⁵⁷ UNICEF. *Evaluation of training activities supported by the Myanmar-UNICEF Country Programme, Mid-Term Review Report*, UNICEF Myanmar, January 2002

⁵⁸ UNICEF Mid Term Review of the Child Protection Training Programs, May 2007

⁵⁹ UNICEF India, *Review of Capacity Building Needs of Members and Office Bearers of Positive Women Network with a view to increase their participation and ability to advocate for the rights of PLWHAs*. 2009.

Philippines, UNICEF and UNDP jointly supported a capacity assessment of various water service providers.⁶⁰ The following five functional capacities were assessed for six different stakeholders: engaging in multi-stakeholder dialogue; assessing of a situation and creating a vision and mandate; policy and strategy formulation; budgeting, management and implementation; and monitoring and evaluation. The use of this assessment tool was preceded by an analysis of gaps in the sector set against UNICEF's comparative advantage, and UNICEF's global strategies and priorities for WES.

- 3.8 The Child Protection 'Social Mapping Tool'⁶¹ is a comprehensive tool which includes a capacity analysis of aspects related to the enabling environment. Applied jointly with the Government of Bangladesh, this tool allowed UNICEF to map out the entire child protection government service. UNICEF child protection team members worked alongside government counterparts to map existing and potential capacities related to the 'Total Package of Care' for children. Capacities were categorised by the existence and functionality of child protection structures, policies, laws, services, personnel and strategies. Findings from the child protection mapping exercises have supported the design of a systems based complete 'package of care' for children. This social mapping tool provides UNICEF with a useful example of the kind of assessment tool that can be put in place to systematically assess capacities. Further support may be required to develop a more user friendly capacity development response plan and performance monitoring sheet.⁶²
- 3.9 At times, other types of assessments have been conducted, including institutional mapping in child protection⁶³ and vulnerability gap analysis in emergency and WASH. The Government of Bangladesh undertook a broad HIV/AIDS 'Functional Gap Analysis' (FGA) of its capacity to effectively manage national and sub-national HIV/AIDS programmes, including that of PMTCT⁶⁴. The assessment captured coordination dynamics and bottlenecks across several ministries including the Department of Health. As a consequence, the capacity response plan covers the competencies that need to be enhanced in order to promote transparent HIV/AIDS coordination mechanisms (further background on the FGA is provided in Annex 8). Mapping exercises, flow charts and SWOT analyses are often used as means of data gathering and analysis. However, they do not sufficiently capture the capacity issues that impede effective change processes such as a lack of clear staff incentive schemes, a high number of staff vacancies and high levels of staff turnover within government settings.
- 3.10 In comparison, tools or processes that primarily address one aspect of capacity gaps, such as immediate training requirements, are generally less able to analyse existing and required capacities and to contribute to the organisational change agenda. In the aftermath of a natural disaster for example, the Red Cross entered into a project agreement with UNICEF based on a series of discussions. A health and disaster response and reduction training course was developed for community leaders. However, the partner's feedback indicates weak long term capacity development linkages from this training and limited relevance to the new Strategic Plan 2011-2015 of the National Red Cross.
- 3.11 With UNICEF's move towards more upstream programming in the Asia-Pacific region, several assessments have been conducted at the enabling environment level. Often, these assessments do not explicitly use the concept of capacity. Such studies include for example a national level review of policies and programmes on child marriage in India⁶⁵, which also

⁶⁰ UNICEF/UNDP, *Capacity Assessment of Local Water Governance*. Manila, January 2011.

⁶¹ UNICEF, *Child Protection System Mapping and Assessment*. Bangladesh, November 2009.

⁶² While the assessment phase of the process proved to be very valuable for the teams in Bangladesh, it would be premature to make a definitive statement on the efficacy of the social mapping tool before the implementation of the project has begun. As a completed assessment document, the social mapping excel tool is lengthy, sometimes difficult to read or cross check to assess whether the necessary systems and inter-ministerial coordination linkages have been adequately mapped.

⁶³ Institutional Mapping document referred to during interview in the Philippines.

⁶⁴ The HIV/AIDS Functional Gap Analysis in Bangladesh proved very useful as a mechanism for facilitating inter-ministerial and multi-stakeholder participation, as well as supporting the development of the Bangladesh National HIV/AIDS Strategy 2010. It resulted in a newly appointed national HIV/AIDS team that is able to use a costed and detailed implementation plan for improving HIV/AIDS programming.

⁶⁵ UNICEF India, *National Level Review of Policies and Programs, Desk Review of Child Marriage*. Moreover, state level reviews were conducted in Bihar, Rajasthan, Andhra Pradesh, West Bengal, Assam and Tamil Nadu representing states

provides a list of NGOs involved in this area. In India, existing disaster management policies and practices of government agencies have been reviewed in order to assess the extent to which the needs of children were captured, using UNICEF's Core Commitments for Children in Emergencies as a benchmark⁶⁶. In the Philippines, a review has been made on policy development and implementation on Early Childhood Care and Development from a holistic perspective, in cooperation with UNESCO⁶⁷.

- 3.12 In Bangladesh, UNICEF supported an assessment on Commercial sexual exploitation which looks at all three levels of capacity development, including laws and policies regarding sexual exploitation, organisational aspects as well as knowledge, awareness and perceptions of the exploited children and adolescents⁶⁸. In all these studies the focus on capacities is implicit rather than explicit. The lack of explicit focus on capacity development limits the use of such assessments for the design of capacity development strategies and programmes.
- 3.13 Whenever they exist, UNICEF should use capacity assessment tools developed by government organisations rather than introducing new ones. In the Philippines for example, the Government developed an assessment tool to inform capacity development of Local Government Units and to identify an agenda for capacity development with the aim to increase the performance of LGUs at sub-national level.⁶⁹
- 3.14 The use of formal approaches to capacity assessment does not imply that there would be no room for informal means. Informal discussions with government counterparts are considered to be an important process for informing capacity development interventions. They can assist duty bearers to think through different planning scenarios⁷⁰ and provide a suitable entry point to discuss the relevance and timing of implementing global/regional programmes. Nevertheless, informal approaches fall short of generating the systematic and more rigorous information required for complex systemic development. Thus, informal approaches would normally need to be used together with formal capacity assessments.

Monitoring

- 3.15 Monitoring of capacity development initiatives is often limited to output level implementation without much attention to intermediate outcome level changes. This is linked on the one hand to the lack of indicators on these intermediate levels in results frameworks and on the other hand to the lack of an organisational framework explaining in a generic way the theory of change underlying capacity development initiatives. Nonetheless, a few good practices have been identified, which can provide some learning about how to adapt monitoring systems to capture capacity changes and to inform in this way programme management.
- 3.16 When monitoring is conducted, Government monitoring systems are normally used and supported by UNICEF. In the health sector in the Philippines, UNICEF provided support to the scorecard system of LGUs and the validation of data gathered, after responsibilities for collection had been devolved to the local level in the context of decentralisation. In Myanmar, selected townships were supported in the use of DevInfo for their Management Information System. Although this initiative was largely unsuccessful at township level, the support provided to the Department of Health Planning resulted in the useful application of DevInfo to support data management and analysis as well as the production of monitoring reports that were used to inform decision-making.⁷¹

above, around and below the national average of girls married before the age of 18 and good programming practice identified.

⁶⁶ UNICEF India, *Identifying gaps in existing government policies on addressing needs of children in emergencies*. 2009.

⁶⁷ Prudenciano U. Gordoncillo et. al., *Early Childhood Care and Development Policy Review in the Philippines*, January 2008.

⁶⁸ INCIDIN Bangladesh, *Rapid Assessment, Commercial Sexual exploitation of Children and Adolescents in Bangladesh*.

⁶⁹ This initiative was supported by AECID. Local Government Academy and Department of the Interior and Local Government, *Systems on Competency Assessment for Local Governments. The LGU Organisational Competency Assessment Tool*. Philippines, 2009. Available at www.lga.gov.ph.

⁷⁰ Informal analysis comprised of a series of discussions with the National AIDS Strategic Programme on the need for programmatic approaches to HIV/AIDS

⁷¹ Ministry of Health, *Myanmar Health Statistics 2010*.

3.17 The country case offices have used a variety of methods to track and document performance changes. The examples cited below serve to highlight selected good practices in performance tracking:

- SPARSH, in India has used the 'Most Significant Change' (MSC) method, to document verifiable behavior changes such as seeking different employment opportunities among adolescent girls. The MSC sheets are rich in qualitative and quantitative information and demonstrate transformative changes.
- With the assistance of experienced NGO facilitators, SPARSH supports the completion of village based, engendered reporting using 'score-cards' to track intermediate outcome changes of government service providers. These changes in service delivery can be directly related to the new skills in micro-planning, budgeting and advocacy which the villagers have acquired through the programme.
- Pre- and post-test results are used for the India Police Gender Sensitisation Project, as well as an independent assessment on training effectiveness looking at performance changes at individual and organisational level, across different functionaries, from district to state level.
- UNICEF Philippines is in the process of developing a balanced scorecard in order to assess change management related to the implementation of the new Country Programme which focused on perceptions of stakeholders on UNICEF, internal processes to deliver support, learning and growth for further improvement as well as financial and human resourcing needed for the process to succeed.
- In the education programme, country offices across the region use generic UNICEF monitoring tools, developed for ECD and Child Friendly Schools.

3.18 The lack of monitoring at intermediate capacity levels can be partly explained by the absence of capacity-oriented indicators in many results frameworks at country office, sector and programme levels. When capacity development is a distinct objective, related project or programme indicators often pertain to the conditions of children and women, and are not a measure of changes in behaviour or systemic performance derived from the capacity development initiatives. For instance, a sector results framework refers to the increase in capacities of health or other social professions to manage specified services in targeted areas as intermediate objective. The correlating indicators are defined as health/education or child protection targets for children and do not focus on the service providers whose capacities have been developed and who consequently have adapted their behaviour by applying different methods or tools.⁷²

3.19 Exceptions to these findings are the results frameworks of the 5th and 6th CPC in the Philippines, where half of the expected achievements were formulated at the organisational and systems level. Also, UNICEF India's new country programme results framework pays substantial attention to intermediate outcomes at system level and includes process indicators. In general, staff acknowledge the need for further guidance on the measurement of capacity development as well as the existence of mixed levels of knowledge and understanding regarding the use of process indicators to monitor capacity development initiatives.⁷³

3.20 In Child Protection, UNICEF has developed a set of generic indicators related to governance issues of child protection systems. These indicators are located between inputs for child protection and the results of child well-being⁷⁴. They relate to various processes needed to translate inputs into results for children, including:

- Policy and Legislative framework
- Public Financial Management
- Human Resources Management

⁷²Some reports such as the MTR of the Philippines 2010, urge caution on the use of process indicators to track capacity performance changes since a review of sector results frameworks from 2007-2010 revealed a number of mismatched indicators across output and outcome levels

⁷³Review of several CPAPs, AWP's and joint UN programme documents (2008-2010)

⁷⁴UNICEF, FISCO, *Guidelines for Measurement and Usage of Core Set of Child Protection Indicators for East Asia and Pacific Region*. March 2011

- Information Management Systems
- Coordinated response to covariate risks
- Quality Assurance
- Cultural Context

3.21 The approach distinguishes between ‘determinants’ which relate to the human resources, policies, guidelines etc. put into place, and ‘performance’, which is linked to how these are being used and actually change practices in reality. Making use of the concept of governance, allows to focus on state level, but also to include the private sector and civil society organisations. The framework is meant to be used at country level to develop consistent sets of viable standardised indicators for assessing strengths and weaknesses as well as changes over time in (parts of)the child protection system. Emerging information should then be used to improve such system. With the coverage of critical sectors in public administration, the effective use of these indicators will require strong Government ownership and commitment, facilitated by focused advocacy from UNICEF and other stakeholders.

Mid-Term Reviews, Baselines and Evaluations

3.22 UNICEF’s move towards addressing organisational and enabling environment levels of capacity has not yet sufficiently resulted in systematic evaluations of the results of these initiatives. Assessments of intermediate level changes in capacities of duty bearers and rights holders are mostly lacking, while baselines, when conducted, usually do not provide information about this level. Given UNICEF’s overall relatively limited financial resources and the resulting limited coverage of its programming in comparison to Government and other development partners’ interventions, impact level changes often cannot be directly attributed to UNICEF’s interventions⁷⁵. Therefore, intermediate outcome level changes need to be assessed in order to be able to ascertain UNICEF’s contribution to changes in the conditions of children and women.

3.23 In some country annual reports, it is recognised that the shift towards addressing the organisational and enabling environment levels of capacity development has in practice not yet sufficiently resulted in the systematic evaluation of related results. In UNICEF India, the “Changing Gears” report identifies a lack of systematic evaluation on system strengthening initiatives and characterises UNICEF India’s approach to piloting and influencing the Government’s programme as opportunistic and not prioritised. The study recommends strengthening the knowledge management system to inform policy discourse and programme implementation.⁷⁶A review of evaluation ToRs of the few country level evaluations conducted during the period under review indicates that these evaluations were not explicitly expected to include systems and performance level changes arising from capacity development initiatives.⁷⁷Project specific assessments and studies rarely include capacity development performance indicators beyond the delivery of training.⁷⁸

3.24 With regard to training, a wide range of tools and techniques exists to assess training effectiveness. These include pre- and post-test tools to capture changes in knowledge before and shortly after learning events as well as baselines and KAP surveys to measure knowledge and performance changes over time. These are nonetheless not used in a systematic way to assess the results of training initiatives and events in UNICEF. When conducted, training evaluations are mostly limited to the immediate reactions of participants after the training and are much less dedicated to assessing the level of learning, behavioural change and enhanced results⁷⁹.

⁷⁵ This issue is worked out for the Philippines in: Universalialia, *UNICEF Philippines Country Program Evaluation. Final Report*. August 2010.

⁷⁶ Geeta Unnikrishnan, *Progress on Indicators on Changing Gears, 2009-2010*. May 2010.(Draft Report)

⁷⁷ CPE The Philippines 2010, Appendices Volume II ToR and Assessment of UNICEF Approach to Leveraging, May 2010, Universalialia

⁷⁸ *Myanmar Police Assessment*, 2009, was one of the few assessment reports containing a dedicated explanation on the development of such indicators.

⁷⁹ Evaluation Training can be conducted on various levels. Kirkpatrick distinguishes four levels: the immediate reaction, learning of participants, behaviour of participants and results for the organisation. Kirkpatrick, Donald L. and James D., *Implementing the Four Levels. A Practical Guide for Effective Evaluation of Training Programs*. 2007.

3.25 As part of the baseline findings of the Oxford Policy Management study, commissioned by UNICEF India, it is stated with respect to training:

“... its effectiveness is measured in terms of its impact on individuals but not on the quality of services provided by organisations or the effectiveness of societal institutions.”⁸⁰

3.26 Baseline studies, assessing the situation regarding key indicators at the start of a project or programme, are not often conducted and only few such reports were available for the period under review in the country case studies. Baseline reports reviewed focused mostly on household / community and individual levels. Baseline assessments at community and household level as conducted for the Mahadalits in Bihar and for the UNICEF supported ORS/Zinc programme in India⁸¹, tend to focus on socio-economic household characteristics and, dependant on the type of programme, include indicators on incidence of diseases, feeding practices, nutritional conditions, and access to social services. Baselines at individual level, such as for the adolescent Girl’s groups in Maharashtra, India⁸² tend to focus on knowledge, skills, attitudes and behaviour as well as socio-economic status of households and access to social services. Both types of baselines do usually not include references to capacities at the organisational and enabling environment levels. Thus, they cannot provide a basis for comparison of systemic changes on these levels of capacity.

3.27 Project and programme evaluations tend to focus on the conditions of children and women as well as on the coverage rate of social services. They often do not pay attention to the capacities built and related changes in organisational performance. The evaluation of EPI in India⁸³ for example focuses on the coverage of vaccinations at the expense of capacity aspects, including re-establishing outreach services, improving supportive supervision, strengthening community links with service delivery, improving monitoring and the use of data, as well as increasing resource planning and management, which are all part of the intermediate objectives of the programme. This focus in project and programme evaluations on changes in the conditions of children and women without a clear linkage to intermediate level changes limits the opportunities to distil lessons about what works and what does not work in terms of capacity development and to identify when enhanced capacities are more likely to result in changes in performance.⁸⁴

3.28 The SHEWA-B programme in Bangladesh focuses on Behaviour Change Communication (BCC) for hygiene including hand washing.⁸⁵ The programme used a third party evaluation of the changes related to BCC⁸⁶. The assessment was based on observed behaviour as well as on reported behaviour. It found that while hand washing after defecation had considerably improved, hand washing before taking a meal had not substantially changed. Project participants appeared more inclined to wash their hands after, rather than before having a meal. The reported changes in behaviour were much larger compared to the actual observations of behavioural change made as part of the programme monitoring. These data were used to inform the targeting and focus of the programme. This example shows the need to assess the details of behaviour changes, preferably including observations rather than only depending on reported behaviour, in order to inform and enhance programme management. The use of third party monitoring and the inclusion of observation enhanced

⁸⁰Oxford Policy Management, *Formulation of Capacity Development Framework for UNICEF India. Capacity Development Framework and Plan of Action*. November 2009

⁸¹ UNICEF India, *A baseline Study on Socio-Economic Status of Mahadalits in Bihar*. May 2010. UNICEF India, ORS/Zinc Utilisation and compliance for the Management of Childhood Diarrhoea – Baseline Survey. September 2008.

⁸²Nakkeeran, Dr. N. and Dr. Deepak B. Saxena, *Baseline Survey for ‘Adolescent Girl’s Group’ Program in Chandrapur, Latur, Nandurbar and Mumbai in Maharashtra*. Indian Institutes of Public Health. 2009.

⁸³ UNICEF India, *Coverage Evaluation Survey of Immunisation. Report on Dhubi, Tinsukia, Bongaigaon, Barpeta and Darrang (Assam)*. February 2008.

⁸⁴The *Replicability and Sustainability Assessment of the Integrated District Approach* (2010) report represents a good example of the level of analytical detail necessary for assessing performance related to replication and sustainability purposes. However, the report misses out on the opportunity to guide program teams on ways to improve upon the measurement of capacity development.

⁸⁵ The project is funded by DFID Bangladesh.

⁸⁶ UNICEF Bangladesh, *Key Findings from the Health Impact Study Baseline Survey*, May 2008.

the independence and credibility of the data both for accountability as well as learning purposes.

- 3.29 UNICEF is 'moving upstream' but retaining a clear presence 'downstream'. This means a diversification of the ways in which capacity development processes are supported, increasingly paying attention to organisational and enabling environment level changes. This has implications on how UNICEF should monitor and evaluate its capacity development interventions. Evaluations will need to be approached in a way that allows the assessment of change at various levels, both within Government institutions (in terms of organisational capacity, policies, and budget allocations among others) and within UNICEF (in terms of the effectiveness of its policy advocacy and long-term partnerships). Thus, approaches to monitoring and evaluation have to be diversified. Although some tools have been developed by UNICEF Headquarters, including guidelines for advocacy, these are not necessarily known and used at the country level.

Reporting on Capacity Development

- 3.30 The UN system agreed to include capacity development in its regular reporting⁸⁷ and there has been a recent effort at global level to make UNICEF's capacity development support more visible by including a section on capacity development in the reporting format of the 2010 Annual Reports. However, information provided in Annual Reports focuses on activities and outputs rather than on results and the analysis of what works and what does not. Moreover, attention is geared towards specifics of programme components rather than capacities of key stakeholders across programmes. This limits the extent to which this reporting can support learning on capacity development within UNICEF.
- 3.31 Country offices' Mid-Term Reviews, include a considerable amount of information on aspects of capacity development at the organisational and enabling environment levels in their reporting on MTSP focus areas. However, here again, the focus is on activities and outputs rather than on the results of capacity development initiatives in terms of increased organisational capacities or enhanced performance. Moreover, the approach to capacity development is fragmented, with details provided for various outcome areas of CPAP/UNDAF without attention to overarching strategies or to progress in terms of enhanced capacities of key partner agencies. In the few instances where results achieved are reported, they are usually not assessed against targets; this means that it is not clear whether achievements are significant or not.
- 3.32 At times, both country and regional level reporting make assumptions about the linkages between outputs of capacity development initiatives, organisational performance and results for children and women, rather than analysing these connections. For example, in one regional report social welfare systems were reported as being strengthened and social work enhanced as a profession, based on training conducted.⁸⁸ However, findings from the present evaluation in Myanmar revealed a much lower than expected employment absorption rate of newly educated social workers by both the government and non-government sectors. When employed, qualified social workers were not utilised to the full extent possible and their ability to address social work problems was found to be well beyond their jurisdiction. These findings highlight the disconnect that can occur between an increased pool of trained professionals and the absence of an organisation's ability to plan for, afford, utilise and retain newly trained personnel beyond the short term (in this particular case, the Department of Social Welfare).
- 3.33 Part of the reporting and data gathering concerns the documentation of good practices and learning in UNICEF's programming. UNICEF India has put together a pool of skilled writers who visit the field, interview partners as well as people in communities, and document good practices and lessons learnt. Moreover, UNICEF India organises annually the Knowledge

⁸⁷ General Assembly Resolution 59/250. *Triennial comprehensive policy review of operational activities for development of the United Nations system in UNDP, UNFPA, UNICEF and WFP, Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF and WFP 20 and 23 January 2006.* United Nations. Background Document.

⁸⁸ EAPRO RAR's 2008 and 2010

Community for Children in India (KCCI) Summer Internship Programme, during which 44 interns from renowned graduate schools documented 12 case studies in 2010. Topics ranged from an assessment of social inclusion in tribal communities under the Integrated Child Development Scheme in Jharkhand, to the availability of basic social services in urban slums in Bihar.⁸⁹ This shows ways of paying systemic attention to documenting good practice and learning, which needs to be part and parcel of furthering UNICEF's capacity as a capacity developer.

⁸⁹UNICEF India Annual Report 2010.

4 ASSESSMENT AGAINST DAC EVALUATION CRITERIA

Relevance

CRC and CEDAW

- 4.1 UNICEF's support related to reporting on the Convention on the Rights of the Child (CRC) in selected countries has resulted in the establishment of monitoring systems that indicate higher levels of abuse identification. In practice, UNICEF's support to capacity development as part of the various projects, programmes and other initiatives at country and regional level aims to improve the conditions of children, in particular those of marginalised and underserved groups, and to enhance their participation in society. Support is therefore in line with the CRC.
- 4.2 In various countries, UNICEF actively supports the Government in its recurrent reporting on the CRC. For instance, in Myanmar and the Philippines, UNICEF currently supports reporting capacities of CRC committee members. Support to CRC monitoring and reporting in Bangladesh included a systemic approach focused on establishing a monitoring framework and an assessment system. It also included training at district level for child fora (each comprising about 30 members) with now a system of quarterly review meetings in place in 40 districts. A monitoring framework with 76 indicators has been developed and is used with data compiled by the Ministry of Women and Child Affairs. In Myanmar, an increase in township level registered child rights abuse cases indicates a growing awareness, in targeted areas, of child protection as a right and normative standard.
- 4.3 UNICEF's support is in alignment with the CEDAW, though on a project basis rather than in a strategic way. In the absence of a gender strategy or action plan, gender issues are usually approached in a piecemeal way. While gender equality and mainstreaming is prominent in some areas of work it remains implicit and ad hoc in others. In the Philippines, the government-led Council of Welfare for Children (CWC) has taken on the task of CRC reporting and ensured sex-disaggregated reporting by the regional CWCs. Relevance of the CEDAW can be cited across programmes. For instance, for the first time in India's history, SPARSH instituted an engendered 2011 Census including specific child informed indicators. In Bangladesh, an active Gender Task Force has ensured that gender equity and gender mainstreaming are clearly on the programmatic and operational agenda of the country office: from initiating a Gender Mainstreaming Action Plan in 2011, to reflecting CEDAW objectives through a high level workshop on gender equality in education attended by female parliamentarians from Bangladesh and Nepal, and civil society.⁹⁰

MTSP and UNDAF

- 4.4 In all country cases, capacity development programming was found to be in line with the UNICEF MTSP goals, with initiatives focusing on achieving selected key results areas of MTSP focus areas. Sector objectives and plans focus on selected result areas of the MTSP in all countries visited, which can be expected to contribute towards the MTSP priority goals.
- 4.5 Although the focus on capacity development, in particular *national* capacity development, as key approach in UNICEF's programming is quite clear from the MTSP, there is no explicit strategy on capacity development nor is there a clear approach to building UNICEF's own capacity in this respect. At times, reference is made to leveraging resources for children; however, no connection is made with capacity development as an approach for or contributing to leveraging. The MTSP focus areas are aimed at improving the conditions for children and women; MTSP indicators focus on results for children and women as well as improved access to social services with some references to policies. The limited number of capacity level objectives and indicators in the MTSP is understandable as the means for improving access to social services and enhancing results for children and women will differ per country, in particular in terms of whose capacities to develop and what kind of capacities

⁹⁰Gender Equality in Education: Beyond Numbers Workshop Notes 2010-2011

to enhance. Thus, capacity level indicators and targets need to be captured in country and sub-national level results frameworks.

- 4.6 UNICEF's capacity development initiatives in the selected country cases are overall in line with the UNDAF, in particular in terms of increasing access to quality social services, and addressing social protection, gender equity and disaster risk reduction and preparedness. Also, UNICEF's targeting of vulnerable groups and deprived areas is reflected in the UNDAFs reviewed.
- 4.7 Increasingly UNICEF support is provided in conjunction with other UN agencies. The health sector provides useful examples of UNICEF working jointly with other UN agencies to reach multiple cohorts of women and children at sub-national level. In Myanmar, a joint bid to the Department of Health has enabled UNFPA, WHO and UNICEF to coordinate training plans and pool resources to support an integrated approach to monitoring health targets. UNICEF is the co-lead with WHO on PMTCT, which is one of the priority areas for HIV/AIDS. In Bangladesh, UNICEF supports the Sector Wide Approaches developed for Education and Health, working with a range of development partners and government agencies. In education, UNICEF closely cooperates with UNESCO and ILO as well as with Save the Children. At regional level, APSSC staff have on several occasions provided support through joint missions conducted together with regional technical advisers of other UN agencies.

Aid Effectiveness Agenda

- 4.8 Performance against the Paris Declaration and the Accra Agenda for Action varies, with relatively high levels of country ownership. When focusing on duty bearers in capacity development programming, UNICEF mostly works with and through Government making use of regular government systems for programme implementation as well as for monitoring and evaluation. In line with the Paris Declaration, no separate project implementation units or other parallel implementation systems have been set up.
- 4.9 UNICEF is increasingly using government systems in its various initiatives. An illustration of this is the development of the capacity of teacher training colleges in the education programme, with the objective to enhance existing training mechanisms. The same approach is taken in monitoring and evaluation through the development of India's National Statistical Office's capacities for the implementation of data gathering processes, or through the support to the development of National Evaluation Organisations.
- 4.10 However, transaction costs of implementation are often high due to the fact that much of UNICEF's support is still provided through relatively small projects. Short-term project targets often encourage short-lived, multiple partnership arrangements and result in time diverted away from longer term investments in incremental capacity development of key government counterparts and NGOs. UNICEF's performance in terms of its compliance with the Paris Declaration was rated low in the health review of development partner support in the Philippines. This rating related, in particular, to transaction costs of UNICEF's programmes, which were considered high, based on the implementation of relatively small projects.
- 4.11 In the case of technical support provided as part of a Sector Wide Approach, it is important to align the expected outcomes of the support with the results framework of the SWAp. In Bangladesh, UNICEF provides support to health and education programming and is involved in both the health and the education SWAps. However, most of UNICEF's funds for education and health are not pooled in the SWAp funds but channelled through projects. This use of a parallel system is approved by the GOB and has advantages in terms of expediting technical support. In the second education SWAp, UNICEF's results framework is aligned with the Education SWAp results framework.
- 4.12 As part of its support, UNICEF pays attention to results based management, with a focus on developing national capacities for monitoring and evaluation, enhancing evidence-based policy-making and promoting country-led evaluations. Nevertheless, UNICEF supported programmes focus mostly on outputs and impact level changes rather than on intermediate outcomes. Greater attention to capacities developed and improved performance could enhance results based management in projects and programmes.

Effectiveness

- 4.13 UNICEF interventions have contributed to enhanced capacities at individual, organisational and enabling environment levels which in turn have resulted in improved performance of various organisations concerned. Country programme level evaluations conducted in the Philippines and Bangladesh clearly indicate that enhanced capacities have resulted in changes in the performance of organisations. Moreover, various projects and programmes in the case study countries contain examples of enhanced performance through support to capacity development initiatives. In particular, work at the organisational level has great potential for creating a leveraging effect.
- 4.14 There is a need for longer term approaches in order to effectively develop capacities of key stakeholders in the development process. By working predominantly through a project modality with relatively short timeframes, UNICEF limits its opportunities in capacity development programming. The use of partnership strategies, especially when informed by the findings of capacity assessments, can create a window of opportunity for longer-term capacity development support which aims at enhancing synergies by addressing organisational capacities and tackling issues at the enabling environment level. This is also true regarding the use of Memoranda of Understanding with government entities. There are a few examples within UNICEF of longer term partnerships for capacity development, which can be used as good practices to learn from.
- 4.15 When implementing training activities, the use of prior training needs assessments combined with the measurement of effectiveness after the intervention have proven to contribute to enhanced results. The use of multiple training methods, the allocation of resources for refresher trainings, the targeting of the most relevant trainees, and facilitating peer support processes tend to lead to enhanced levels of knowledge and/or behaviour change.
- 4.16 A comprehensive evaluation of the training programme in Myanmar in 2002 concluded that, in general, training alone could do little to effectively enhance capacities. The study concluded that for training to resort effect it needs to be combined with other forms of support, which also take into account organisational aspects.⁹¹
- 4.17 The four country cases showed that capacity development programming efforts have been more focused and systemic in nature when interventions have been analysed using formal assessment tools. Working on a systemic level can enhance effectiveness as was shown with the examples of capacity development of training institutions, rather than providing direct training support, which has resulted in better performing training institutes that can support the development process in the longer term. Work at the enabling environment level has led to the elimination of some constraints, be it in legislative or policy terms or in terms of lack of government resources.
- 4.18 A number of initiatives have enhanced the performance of organisations in the selected countries. In the Philippines, capacity development resources such as 'Crafting Children's Code and Moving Forward with Gender and Development' have been used by local legislative councils responsible for enacting local laws and budgets. In India, several initiatives focusing on capacity development of adolescent girls have increased social and public accountability for young women's rights at the enabling environment level and have enhanced access to health, education and HIV/AIDS services for women and children. In Bangladesh, a systems approach to capacity development has supported the establishment of a vaccination system and enabled the Government to absorb almost all operational costs for vaccines. Support to address human trafficking in Myanmar, in the framework of the UNIAP project, resulted in an increasing number of victims rescued and more perpetrators being prosecuted. Following Cyclone Nargis in Myanmar, an inter-governmental and inter-agency WASH cluster coordination mechanism was established, which has since sprung into action for subsequent natural disasters.

⁹¹ UNICEF, *Evaluation of Training Activities supported by the Myanmar – UNICEF Country Programme Mid-Term Review Report*, January 2002.

- 4.19 UNICEF has shown that it can play multiple roles, depending on the national and local context, and that it can shift roles over time, once capacities are being developed. Roles played by UNICEF range from modelling innovations for scaling up by government agencies (Bangladesh and India), to supporting child protection networks with an aim to create a movement of advocates supporting legal changes in juvenile justice and anti-pornography (the Philippines), to convening national task forces on critical issues (Child Soldiers in Myanmar), just to mention a few. UNICEF's ability to change roles can contribute to enhanced effectiveness if supported by an adequate monitoring system.
- 4.20 Where the NGO sector is either less vibrant or met with considerable caution by the Government, UNICEF has retained its role as trainer (Myanmar Child Protection, C4D, WASH). Some UNICEF country offices have excelled as facilitators of effective capacity development partnerships, ensuring long-term investments for intermediary training/community development institutions. By taking on a brokering role, UNICEF in India has shown it can effectively support, with limited budgets, locally invested organisations to train large amounts of rights holders as well as duty bearers. In addition to being able to play multiple roles, UNICEF has shown that it can adapt its role over time, once capacities become manifest, by keeping a close watch on the process.

Box 3: Staff (mis)conceptions about Results of Capacity Development in UNICEF

- A project-oriented approach is an effective way of working, by which capacities are developed through short term project interventions and constraints can be identified and solved within the lifetime of the project(while in fact capacities are developed and sustained over a longer period of time through iterative support).
- The locus of capacity development is in a UNICEF supported project or programme (which implies a lack of attention to the endogenous change processes within partner organisations).
- Key constraints to reach results for children and women are related to the limited technical capacities of counterpart agencies and organisations (rather than to limited systemic capacities, such as human resources and financial management).
- A focus on capacity development can easily be combined with Results Based Management (while in practice RBM's focus on results can easily conflict with the need to also focus on processes of development)

- 4.21 There are notable instances, however, where UNICEF's ability to competently change roles in a timely manner, has been compromised, reducing the level of effectiveness. At times, there was no adequate awareness of the mix of capacity development roles needed to suit different local contexts. In other cases, UNICEF staff was not sufficiently aware of internal changes taking place within and across different organisations. In these instances, UNICEF's ability to plan for capacity development in an incremental way has been negatively affected, as has its ability to adapt its relationship with partner NGOs and government agencies at the right time.
- 4.22 Country level evaluations and assessments conducted in the Philippines and Bangladesh indicate the lack of systematic evaluation of capacity development initiatives, which was confirmed more broadly for country case studies in the present thematic evaluation. Most of the evaluations do not clearly identify results of capacity development activities and do not attempt to link enhanced capacities with results for children and women. This severely limits the extent to which UNICEF can presently learn from experience in capacity development and negatively affects UNICEF's ability to improve initiatives in this area.
- 4.23 The lack of capacity development indicators in baselines as well as in many sector and programme level results frameworks considerably undermines the evaluability of capacity development initiatives supported by UNICEF.

Efficiency

- 4.24 UNICEF's presence at the national and sub-national level allows its staff to have a 'finger on the pulse', i.e. conduct preliminary monitoring through informal means of changing capacities and changing context. Also UNICEF's systemic approach to training, building capacities of training organisations, including governmental as well as non-governmental organisations, rather than providing training directly, has increased the reach of support and enhanced efficiency compared to a direct training approach. This is particularly useful given the high turnover rate of government staff in many countries resulting in an on-going need for training.
- 4.25 UNICEF country offices use the organisational expertise embedded in the various sectors in which UNICEF is active. This is done through the use of frameworks and tools which have been developed by the Organisation and are adapted to fit specific country contexts. This enhances the efficiency of UNICEF's programme implementation. Examples include the monitoring tools for Early Childhood Development and Child Friendly School programmes in education, which are used to monitor programme implementation.
- 4.26 A number of systemic constraints in UNICEF limit the efficiency of capacity development interventions. Bureaucratic procedures in the recruitment of short term technical advisors and limitations to daily fee rates prevented in a number of instances timely recruitment of high quality consultants, with strong capacity development skills. Poor PCA management and bureaucratic operational procedures within UNICEF can lead to substantial time lags and significantly reduce the actual project implementation period, in some cases even by six months from an original one year period. The relative high turn-over of staff in UNICEF, in particular in senior international positions, limits the organisational memory on the mid to longer term. As an aid modality, the project approach is not very efficient with its relatively high transaction costs compared to other aid modalities.
- 4.27 Key factors limiting efficiency from the Government side include high level of staff turn-over of middle to high level ranking government officials which limits the effects of training.⁹² An extensive number of vacancies particularly in remote rural areas and the lack of incentives and support for staff to improve their performance also adversely affect efficiency⁹³.

Sustainability

- 4.28 As mentioned earlier in this report⁹⁴, although the level of ownership varies across different initiatives, it is overall relatively high. A high level of Government ownership enhances the opportunities for sustainability, as do government contributions, which are part of the implementation of many of the projects and programmes supported by UNICEF.
- 4.29 Ownership of initiatives with NGOs proved less strong. Where longer term partnerships were established, sustainability was more obvious. However, UNICEF often engages in contractual rather than longer term partnership relations with NGOs. Also, addressing systemic aspects of local NGOs is more likely to sustain results as it enhances the prospects of the NGO to continue as an organisation. In this respect, UNICEF should particularly address financial management and fund raising capacities of local NGOs, and move beyond merely addressing issues of financial compliance of NGOs with UNICEF procedures.
- 4.30 In most country offices, there is an increasing awareness of the need to address capacity development at the organisational and enabling environment levels. UNICEF is increasingly putting into practice an approach which entails addressing systemic issues. This is more likely to lead to sustainable results.

⁹²Myanmar being the only country where government staff transfers appear to be more limited with movements often confined within the same state and sector

⁹³Public sector staff appear reluctant to travel to distant and remote locations so that access to social services is often hard to obtain in geographically remote and vulnerable rural communities. As a result of security concerns, fewer female health and social workers are posted in remote and underserved areas. Moreover, inadequate supervision of front line workers further weakens capacity investments made.

⁹⁴See section on "Ownership of initiatives and process", paragraphs 2.10 to 2.14.

- 4.31 Pilots that have been mainstreamed in the government system have mostly been longer term initiatives addressing complex organisational issues at multiple levels as part of a strategic and programmatic approach. These initiatives have led to sustainable results, manifest in budgetary and human resource allocation. The following are a few examples of such initiatives: EPI in Bangladesh, ECD in Myanmar, Child Protection Units based out of hospitals and police stations in the Philippines, and SPARSH supporting an engendered Census in India. Capacity development work with right holders proved to be more sustainable when interventions addressed all three levels of capacity development. This is not to say that UNICEF should always provide support at the three levels, but it needs to ascertain that requirements at each level have been sufficiently addressed.
- 4.32 UNICEF has, at times, missed the opportunity to develop capacities, when it overlooked the process leading to the achievement of results. For instance, in some cases, UNICEF has supported the development of national strategies, guidelines, policies or standard operating procedures without strengthening government agencies' capacities and without defining clear accountabilities for their use. The development of adaptive and strategic planning capacities, which are necessary for organisations to cope with changes, has thus been neglected. This may have compromised the sustainability of UNICEF's capacity development support.

5 CONCLUSIONS

- 5.1 Capacity development support is an important part of UNICEF's approach to reaching results for children and women in the region. Notwithstanding the importance of capacity development as a programme approach, it is usually dealt with on a project by project basis rather than on a programmatic basis, and in an ad hoc rather than a strategic way.
- 5.2 There is a lack of common understanding on the concepts of capacity and capacity development amongst UNICEF staff and there is no consistent use of these terms in UNICEF documentation. The absence of a common corporate framework, underpinned by a theory of change and a composite set of methods and tools means that UNICEF regional and country offices do not provide guidance on how to design, implement, monitor and evaluate capacity development support.
- 5.3 Based on UNICEF's Human Rights Based Approach to Programming, UNICEF has been supporting the development of duty bearers' capacities to meet their obligations and has increasingly provided support to right holders to claim their rights. Gender equality and more recently UNICEF's approach to equity are intrinsically related to its rights-based approach and aim to address the universality of rights, which need to be attained by all, including vulnerable, marginalised and deprived groups. Thus, when developing UNICEF's understanding of capacity and approach to capacity development, the interrelation with these overarching programming principles needs to be made clear and explicit.
- 5.4 In order to enhance the value of capacity development initiatives, the importance of the process needs to be acknowledged in UNICEF's approach to capacity development. The Human Rights Based Approach and an approach to capacity development have this in common that they consider the process to be as important as the results. In both cases, the way in which initiatives are being implemented can make a difference in terms of rights achieved or capacities developed, the latter in particular regarding the extent to which partner and counterpart agencies are enabled to function better in the future.
- 5.5 UNICEF's capacity development initiatives are overall in line with the CRC and the CEDAW as well as with the UNDAF and UNICEF's MTSP. Country ownership is overall relatively high and often increases over time. The latter in particular when there is a tension between country ownership and UNICEF's role to uphold and apply international rights based norms and conventions relevant to its mandate. Ownership of change processes in NGOs proved overall less strong, with NGOs often considered more as implementing sub-contractors rather than as longer term partners. The level of ownership can be adversely affected when initiatives supported by UNICEF are disconnected from endogenous change processes. Linking with these internal processes is one of the opportunities for UNICEF to enhance local ownership of future capacity development initiatives.
- 5.6 UNICEF country offices have shifted to support the development of capacities at multiple levels. Approaches to training have become more systemic, making use of and developing the capacities of governmental as well as non-governmental training institutes. Evidence-based policy advocacy is one of UNICEF's growing strengths in the region and it is successfully implemented independently from the country context⁹⁵. Working at national, sub-national and local level, UNICEF is well positioned to enhance the linkages between the various levels of capacity development, something that is often not sufficiently done yet.
- 5.7 Advocacy efforts in country offices are often informed by data from MICS, as well as Situational Analyses and other studies, conducted by national agencies with UNICEF support. The support provided to the development of national capacities for evaluation further enhances evidence based policy making in countries in the region.
- 5.8 UNICEF's capacity development support has contributed to enhancing the performance of organisations, though the means to assess the effectiveness of capacity development

⁹⁵ Evidence-based policy advocacy has developed over a longer time in Middle Income Countries like the Philippines, but it is also being meaningfully developed and applied in Least Developed Countries such as Bangladesh. Even under less favourable political circumstances, in Myanmar, useful work is done by UNICEF in terms of policy advocacy.

initiatives need to be further improved and systematised. UNICEF normally focuses on technical issues at the expense of building systemic capacities (or functional areas like human resources or financial management). There is a need for UNICEF to assess whether these systemic aspects are in place and if not addressed by UNICEF, to possibly encourage other development partners to provide support in these areas.

- 5.9 UNICEF's work on C4D adds an important layer to capacity development work looking at parents, caretakers and communities as duty bearers towards children and supporting them in that role. The approach is developed together with other UN agencies. This important component can enhance results, especially when it is interrelated with other capacity development work undertaken at the individual, organisational and enabling environment levels.
- 5.10 UNICEF country offices are actively involved in the demonstration of pilots and models developed through evidence-based programming, including capacity development initiatives. UNICEF has demonstrated its ability to work on joint programming with various UN agencies, from collaborative capacity assessments to coordination of capacity development work, which is most pronounced in the health and education sectors.
- 5.11 The limited number of longer term engagements in capacity development and the limited use of programme-based approaches reduce the opportunities for UNICEF to develop a more strategic approach to capacity development. It also reduces the opportunities to support the development of capacities of various selected stakeholders who could play a relevant role in the realisation of results for children and women.
- 5.12 Gender equality is approached in an ad hoc way, based on projects and programmes, which are not necessarily clearly linked. There is a need for UNICEF to enhance its own capacity in order to increase its effectiveness in facilitating engendered capacity development of partners and government counterpart agencies.
- 5.13 APSSC and Regional Offices have played an important role in terms of capacity development programming, addressing issues at regional level as well as through the provision of technical support to country offices. Much of the support is sector oriented and there is usually no designated capacity development expertise at the regional or at the country office level. Roles and responsibilities of regional versus country office staff are not always clearly delineated and accountabilities not sufficiently specified. With the sector orientation of technical support it is more challenging to address aspects of development of capacities that run across sectors. Interrelations between capacity development initiatives at regional and country office level could be further enhanced, in order to augment synergy between these levels and to mutually inform design and implementation of interventions, enhancing their effectiveness.
- 5.14 Overall there is insufficient attention to the systematic assessment of existing capacities and gaps in particular at the organisational and individual level and to a lesser extent at the enabling environment level. The regular data gathering instruments of SitAn and situation monitoring of MICS do not contain information about the capacity assets and gaps of counterpart and partner organisations. Also, the tools used to further inform programme design, including needs analysis, do not look into these aspects. Capacity mappings and assessments are not often used, which leaves a significant gap in terms of relevant systematic information to inform the design of organisational capacity development initiatives. In many cases, the design of initiatives is informed by more informal means, based on UNICEF staff's understanding of national and local conditions. Many of the trainings conducted are informed by needs identified at the organisational level rather than by assessments of specific training needs related to the positions that staff hold. The best informed part of the capacity development levels is the enabling environment level, for which specific studies are conducted to inform initiatives and for which the MICS and SitAn also provide useful data. There are nonetheless some good examples of assessments of training needs and of organisational capacities in various sectors, which could be used to enhance learning on conducting assessments at these levels across the country programmes in the region. The quality of interventions can be further enhanced by conducting joint capacity

assessments and by developing costed response plans. Capacity development programming efforts have been more focused and systemic in nature when interventions had been analysed using formal assessment tools.

- 5.15 Monitoring of capacity development initiatives proved overall weak; it focuses especially on activities and outputs and much less on intermediate outcomes. This weakness in monitoring is related to the lack of capacity-oriented indicators in many results frameworks at country office, sector and programme levels. The frameworks usually contain indicators at the level of results for children and women rather than the capacity level aspects of duty bearers and rights holders. Country offices can learn in particular from the new country level results framework of UNICEF India, which includes a range of intermediate level indicators as well as process indicators and from the generic indicator framework developed in child protection⁹⁶.
- 5.16 The shift towards capacity development support at the organisational and enabling environment levels, in addition to the individual level, has not necessarily been accompanied by guidance on how evaluations should address results at these levels. Also, training initiatives are not evaluated systematically enough; in particular, behaviour change among participants applying their learning and the contribution to enhanced results for organisations are often missing. Evaluation TORs normally do not require evaluators to address system and performance level changes arising from capacity development initiatives. This severely limits the way in which UNICEF can learn about what works and what does not work and in which context. The diversification of initiatives to address additional levels of capacity development has not yet sufficiently resulted in the diversification of approaches and methods for monitoring and evaluating changes in capacity at the various levels.
- 5.17 Reporting on capacity development in UNICEF's regular reporting system is mostly limited to activities and their outputs. Reporting often covers also country office initiatives to further enhance UNICEF's approach to capacity development. Linkages between outputs and results for children are often implicit and assumed and there is insufficient analysis on how enhanced capacities affect organisational performance. This limits the extent to which UNICEF, as an organisation, can learn about capacity development as its main strategy in programming.
- 5.18 The relatively high levels of Government ownership enhance the likeliness of sustainability of results. However, the development of longer term sustainable capacities can at times be jeopardised by the use of a short-term project approach, aiming at immediate results.
- 5.19 UNICEF country offices' comparative advantage is grounded in their 'downstream' presence, and when moving 'upstream' in terms of programming, UNICEF usually retains a sub-national presence. This positioning has advantages in terms of capacity development. It allows UNICEF to have its upstream work informed by experience obtained through downstream project implementation. Moreover, it allows UNICEF to support the various levels of capacities from local through intermediate to national level in an integrated and coordinated way, in partnership with other organisations. In this respect UNICEF has been able to link up with and respond to processes of decentralisation, as eminent as in India and the Philippines, supporting the development of capacities at the sub-national level of government agencies as well as civil society organisations.
- 5.20 Good practices are emerging across sectors in UNICEF's programming. Although there are multiple opportunities for learning across sectors within a country office, as well as across UNICEF country offices in the region, these opportunities are presently under-used. There is a need to enhance learning mechanisms and processes across sectors as well as across countries in the region, taking into account the context in which this learning occurred.

⁹⁶UNICEF, FISCO, *Guidelines for Measurement and Usage of Core Set of Child Protection Indicators for East Asia and Pacific Region*. March 2011.

6 RECOMMENDATIONS

- 6.1 Capacity development should be mainstreamed as a key programming principle within UNICEF. This process should take place at headquarters and regional level, as well as in each UNICEF country office. At the same time, equity and gender need to be integrated into the mainstreaming of capacity development as part of UNICEF's human rights-based programmatic approach.
- 6.2 A policy paper should be developed to guide and support this process. This paper should outline UNICEF's understanding of capacity development and specify organisational requirements in terms of policies, human resources as well as guidelines to institutionalise capacity development across the organisation.
- 6.3 Based on UNICEF's definition of capacity development, it is recommended to develop a shared understanding across the organisation (conceptually, programmatically and operationally), emphasizing among others the endogenous character of the process, the three levels of capacity and how UNICEF can support them, the importance of both the process and results, UNICEF's role in different contexts as well as the importance of gender and equity.

At the regional level

- 6.4 Develop a regional strategy on capacity development, grounded in the practice of UNICEF's work at regional, country, sub-national and local levels. The strategy should guide country offices and stakeholders on how to approach capacity development at the various levels. It should include, among others, information on roles and accountabilities, resource needs, as well as on proven capacity development methods and interventions which have resulted in enhanced performance and sustained changes for children and women. Monitoring and evaluation of capacity development should also be an integral part of the strategy.
- 6.5 Ensure that technical capacity at the regional level is adequate for working on regional capacity development issues and for providing support services to country offices. Regional technical advisors should play a role in various aspects of capacity development including assessment, performance tracking, evaluation and organisational learning. Incorporate responsibilities for capacity development in job descriptions and as a criterion in recruitment processes. Diversify regional support to include additional approaches such as coaching, learning-by-doing and shadowing.
- 6.6 Develop south-south learning mechanisms to share capacity development experiences obtained across UNICEF country offices in the region and to build a shared knowledge base on capacity development experiences.
- 6.7 Support country offices by giving them access to a pool of regional/international capacity development consultants who can contribute to technical and organisational development aspects of mainstreaming capacity development in regional and country offices.
- 6.8 Ensure that capacity development, as a key approach in UNICEF's programming, is assessed in Mid-term reviews, Country Programme Evaluations, Joint evaluations and other assessments.
- 6.9 Along with guidance on what supports the evaluability of any given intervention, define a realistic minimum set of capacity development benchmarks necessary to support the evaluability of capacity development project and programmes.

For country offices in the region

- 6.10 Develop a country level plan, informed by the regional strategy, for enhancing capacity development as a key approach to UNICEF's programming in the country. The plan should build on UNICEF's definition of capacity development and should be drafted in partnership with counterpart agencies, other UN agencies and development partners. It should address overall capacity issues as well as those related to specific phases of the programming cycle.

- 6.11 As part of the process of developing the capacity development plan at country level, the following should be undertaken:
- Review the current approach to capacity development in the various programme components and cross-cutting thematic areas supported by UNICEF, distinguishing work at individual, organisational and enabling environment levels and assessing the extent to which approaches are gender sensitive.
 - Assess UNICEF's capacity to support capacity development taking into account gender and equity concerns, through a facilitated and participatory process, together with counterpart agencies and other key stakeholders. This would exemplify the use of capacity assessments as part of the capacity development process and could stimulate key counterpart agencies to follow a similar process.
- 6.12 Embed gender and equity into UNICEF's approach to capacity development:
- Incorporate gender and equity analyses and where feasible the findings from gender and equity studies, to inform the design of capacity assessments, capacity response plans and their implementation;
 - Ensure that UNICEF, counterparts and development partner teams understand what 'engendered capacity development' means and what it entails throughout the programming cycle, in order to prevent capacity development from being conceptually or operationally isolated from gender equality and gender mainstreaming;
 - Ensure that PCA's and MOUs with training providers specify a set of functional skills as well as capacity development approaches that integrate a gender and equity perspective in line with UNICEF's mandate.
- 6.13 Ensure that capacity development, as a key strategy of UNICEF's programming, is incorporated into human resources policies and procedures:
- Include capacity development into the annual performance review;
 - Provide stimulus for staff to devote time to the process of capacity development in addition to the achievement of results by reflecting these aspects in their job description;
 - When recruiting new staff, pay attention to the required experience and competencies related to capacity development at the three levels.
- 6.14 Inform the design of capacity development initiatives through capacity assessments conducted in close cooperation with counterpart agencies and in coordination with other development partners.
- Systematically conduct formal capacity assessments at individual, organisational and societal level (or a combination of levels) during the design phase of initiatives. Capacity assessments should be gender sensitive and informed by the equity approach. Plan joint capacity assessments with an explicit intent to learn from managing such assessments.
 - As part of the design, include information about how (and to what extent) the intervention will address each level of capacity development; and how capacity development relates to the theory of change underpinning the initiative. Assess whether all aspects needed for systemic change are in place, looking beyond UNICEF support to include actual and potential support from other development partners and NGOs.
 - Incorporate advocacy as an integral part of a capacity development approach, clearly linking advocacy interventions with initiatives at organisational and individual level.
 - Develop a knowledge base on capacity development, with specific attention to gender and equity. Develop mechanisms to share knowledge and experiences on capacity development across programme components and country offices as well as with counterparts and other development partners.

6.15 Improve evaluation and monitoring and enhance the evaluability of capacity development interventions and, in this way, enhance the learning on which approaches work and which do not work:

- Include a robust results framework in the design of projects and programmes, which further details the programme's theory of change including the three levels of capacity development.
- Explore the use of a variety of evaluation approaches to assess process and results of capacity development initiatives at individual, organisational and enabling environment levels.
- Include relevant capacity development performance and process indicators into country programme, sector and programme results frameworks ensuring intermediate level outcomes are effectively defined and represented. In baseline studies and other assessments, include indicators for capacities at organisational and enabling environment levels.
- In the ToRs of country programme evaluations, mid-term programme reviews and end of project and programme evaluations, include an assessment of performance changes related to the three levels of capacity development. Ensure the use of relevant evaluative methodologies to capture organisational performance in relation to results for children and women.
- Enhance the evaluation of training initiatives using different evaluation means to assess achievements at the various levels of the results chain by collecting reactions immediately after the event, assessing learning obtained as well as behavior change among trainees and results for the organisation.

6.16 Enhance engagement in longer-term partnerships with key stakeholders in the country in order to be able to develop capacities of a set of critical actors over a longer period of time and increase sustainability or results.

- Work in partnership with other development agencies in order to address deep-seated constraints to capacity development in particular those engrained within public administration and those at the level of societal norms and values.
- Review procurement and financial procedures bringing them in line with the requirements of a programmatic approach in which UNICEF needs to be able to contract on short notice high quality TA on capacity development based on actual demands of counterpart agencies.

7 LESSONS LEARNED

Lesson 1: Leadership and vision within UNICEF sets the tone and guides the agenda of capacity development towards a more systemic approach

- 7.1 UNICEF has a high calibre of staff through which it spearheads the agenda of capacity development. Leaders at different levels of the organisation have learned to keep their 'finger on the pulse of change' and have steered UNICEF development efforts towards the organisational and the enabling level.
- 7.2 In India, the Integrated District Approach, including bottom up micro-planning, shows that substantial changes in the approach to planning require long-term investments in selective partners as a strategic necessity for capacity development. The complex, at times contradictory and long-term nature of capacity development processes have been supported by managers in UNICEF India at multiple levels, in concrete terms, through an ethos of continuity, systematic cross-sector learning events and a participatory driven approach to local planning. Inspired leadership played an important role in moving away from ad-hoc and stand-alone training initiatives towards a longer term systemic approach.

Lesson 2: Capacity development efforts need to be informed by research and evaluation in order to guide country office positioning

- 7.3 UNICEF capacity development efforts at organisational and enabling environment levels have, in selected cases, been informed by research, analysis and evaluation conducted in a systematic way. In Bangladesh, the HIV/AIDS Functional Capacity and Gap Assessment was *designed* to generate 'capacity rich information' - to inform the direction, scope and content of the five year HIV/AIDS National Strategy. The capacity research/analysis phase steered the process by which the strategy was composed over a period of six months. The process of engagement - valuing the principles of trust, accountability and ownership, investing the time to build inter-ministerial collaboration, and the foresight to hire a capacity development adviser to assess whether training or other inputs are needed for organisational change - all combined to enable the National Programme Manager to develop the Strategy alongside an HIV/AIDS technical adviser. Coaching staff in understanding the workings of the development process featured as prominently as the production of the HIV/AIDS Strategy document itself.

Lesson 3: Capacity development initiatives need to take into account the context in which they are meant to be implemented, including constraints as well as existing and emerging opportunities.

- 7.4 Capacity development initiatives of UNICEF in India met with a relative enabling environment in which GOI appears open to UNICEF ideas in particular when it concerns issues which have been piloted on a relevant scale in the Indian context and have been proven to work with a methodological sufficient rigor. UNICEF makes use of this context and is preparing an inventory of pilot initiatives so far, compiling the evidence concerned and has made a selection of pilots which it is promoting towards GOI for scaling up, making use of GOI funds.
- 7.5 Changes in context can provide opportunities that did not exist before. The passing of the Right of Children to Free and Compulsory Education Act (RTE) on 1 April 2010, in India enhanced UNICEF's opportunities in education. UNICEF realised this and took this opportunity to provide support to public awareness raising on the Right to Education act, to provided technical support including for a child tracking system and district information system and to provide a Frequently Asked Questions sheet on Right to Education. This was based on requests from GOI for UNICEF support.
- 7.6 The context for capacity development in Myanmar is much less conducive and GOUM effectively contains the type of activities that UNICEF can undertake. This does not mean that there would be no opportunities at all but rather that there are political sensitive areas where constraints are more pervasive while in other areas or sectors there could be more

opportunities. In health for example, UNICEF did manage to promote health care financing and insurance with the inclusion of equity concerns.

- 7.7 The emergency response to cyclone *Nargis* and the coordination amongst GOUM, UN and other development partners concerned appeared to have a positive change on GOUM's attitude towards international support, which it much more readily accepted for a consecutive but smaller cyclone that hit the country. Moreover, it enhanced coordination amongst parties in WASH and other sectors, and coordination mechanisms remained in place after the disaster.

Lesson 4: In order to enhance results it is important for UNICEF to be able to play multiple roles in the capacity development process and to shift roles to adapt to the evolving context.

- 7.8 The ability to shift roles in the capacity development process based on capacities built is important in order to enhance results. The ability to play multiple roles and to change roles over time, in line with the requirements of enhanced capacities of counterpart and partner organisations, are likely to have enhanced UNICEF effectiveness in developing capacities.
- 7.9 Shifting roles is in particular apparent in more systemic approaches, like UNICEF's support to SPARSH and YASHADA in Maharashtra, India. UNICEF initially provided training to these organisations, while once the organisations capacities were built, UNICEF changed towards other aspects of the Programme including advocacy for the micro-planning approach.
- 7.10 In UNICEF India the ability to playing multiple roles is enhanced at a country level in the 'changing gears' initiative, which is meant for UNICEF to move towards a role of innovator in piloting of initiatives, which are meant to be taken up by GOI in the mainstream Government programme.

Annex 1 TERMS OF REFERENCE

1. Background and rationale

Mandate for conducting a thematic evaluation on capacity development in Asia-Pacific

According to UNICEF's Evaluation Policy⁹⁷ the responsibility for undertaking regional thematic evaluations lies with the Regional Directors who "commission multi-country thematic evaluations, in accordance with their regional evaluation plans and in consultation with the Regional Management Team." Regarding the purpose of the regional evaluations, the Policy states that they "serve the Regional Management Team and partners in the assessment of regional strategies to help countries to address trans-boundary and shared regional issues and to mutually assist each other in achieving national goals and priorities".

The Policy further specifies that "in UNICEF, evaluation and research are closely related and both contribute to the knowledge agenda outlined in the Mid-Term Strategic Plan [MTSP]". In the current MTSP (2006-2013), one of the suggested indicators for monitoring progress in this area is the "Number of UNICEF [...] regional offices carrying out [...] multi-country thematic analyses ([...]), using a human rights and gender analysis framework"⁹⁸.

UNICEF's Programme Policy and Procedure Manual (PPPM) also contains a section on thematic evaluations mentioning that "as part of their evaluation responsibilities, Regional Offices and Headquarters also carry out thematic evaluations focusing on strategic issues and feeding into regional and global policy development."

Undertaking a regional thematic evaluation in the Asia-Pacific region is grounded in the Regional Office Management Plan (ROMP) 2010-2011 for the Regional Offices for East Asia and the Pacific (EAPRO) and South Asia (ROSA) as well as for the Asia Pacific Shared Services Centre (APSSC)⁹⁹. One of the key performance indicators presented in Annex 1 of the ROMP¹⁰⁰ is: "Thematic regional evaluations done annually"¹⁰¹. The implementation of this activity falls under the main responsibility of APSSC.

The joint EAPRO/ROSA Regional Management Team meeting in Dhaka (25-28 October 2009) and more recently the SA RMT meeting in Kochi (22-24 March 2010) and the EAP RMT meeting in Hanoi (24-26 March 2010) have resulted in the identification of four themes for a possible thematic evaluation to be undertaken by 2011¹⁰². Based on the concept notes prepared by APSSC for each theme and submitted to the Regional Directors in August 2010, a final agreement was reached during the joint EAPRO/ROSA RMT meeting in Beijing (1-4/7 November 2010) to "implement two [...] thematic evaluations in 2011 on capacity development and decentralisation, within the context of disparity reduction and strategic partnerships."

Capacity development: a priority for UNICEF and the international community

The United Nations General Assembly¹⁰³ has acknowledged that "capacity development and ownership of national development strategies are essential for the achievement of [...] the Millennium Development Goals" and has requested all United Nations agencies to help developing countries strengthen their capacities. The 2010 report of the Secretary-General on achieving the Millennium Development Goals also

⁹⁷ Economic and Social Council E/ICEF/2008/4, 5 December 2007

⁹⁸ Focus Area 5, Key result area 2: Research and policy analysis on economic/social policies supporting governance for CRC/CEDAW implementation

⁹⁹ UNICEF Regional Office for South Asia (ROSA) and East Asia and Pacific regional Office (EAPRO) Office Management Plans and Integrated Budgets, 2010-2011, 27 February 2009

¹⁰⁰ Expected result # 3 under Function 4: Programme guidance, management and oversight (as derived from the Executive Board paper E/ICEF/2008/AB/L.1)

¹⁰¹ It has been requested to reduce the initial target value from 5 to 1-2 thematic evaluations undertaken by 2011; however, a reply from HQ is still expected confirming that this lesser value has been captured.

¹⁰² The four themes were aid effectiveness, capacity development, decentralisation, and diarrhoea and ARI

¹⁰³ A/RES/62/208, 14 March 2008 as well as previous resolutions regarding the Triennial comprehensive policy review of operational activities for development of the United Nations system (TCPR)

reiterated the importance of national ownership and strengthened domestic capacities which should be encouraged by global partnerships¹⁰⁴.

Capacity development has been the focus of international debate for several years now and an important literature is available on this subject, including on the measurement of capacity development support.

The Paris Declaration (PD) on Aid Effectiveness (2005) recognises that improving the capacity of developing countries to lead the development agenda is essential to make aid more effective. It asserts that capacity development is primarily the role of developing countries, with donors playing a supporting role. In order to be effective, donor assistance for capacity development needs to be carefully tailored to country conditions and aligned behind national development strategies which integrate capacity strengthening objectives.

The Accra Agenda for Action (AAA) of 2008 contains even stronger language on the need for strong institutions, systems and local expertise to manage development processes. It contains a clearer commitment by developing countries to identifying capacity gaps at national, sub-national, sectoral and thematic levels. Donors agree that their capacity development support should be demand-driven and designed to support country ownership. The AAA also specifically refers to South-South cooperation which is seen as a key driver for capacity development.

The principles laid out by the PD and the AAA have been endorsed by the United Nations Development Group (UNDG)¹⁰⁵ and provide thus a framework for UNICEF's capacity development support at country level. The UNDG has recognised capacity development as one of the five key principles for United Nations country programming and has released several documents which provide useful guidance for UNICEF's work in that area.

National capacity development is at the core of UNICEF's work as highlighted by various policy documents of the organisation, including its Mission Statement, the 2006-2013 Medium-Term Strategic Plan (MTSP), the Programme, Policy and Procedure Manual (PPPM) as well as Country Programme Documents. The UNICEF Organisational Review of 2007 identified capacity development as one of the five core categories of intervention; the relative importance of capacity development in UNICEF's programming approach. However, until recently, there has been no "official" UNICEF definition consistently used across the organisation, nor have there been clear guidelines on capacity development or structures to support and oversee capacity development activities within UNICEF.

For UNICEF, capacity development is intrinsically linked with the Human Rights Based Approach to Programming (HRBAP) which is articulated in all its policy, strategic and programme documents¹⁰⁶. In this context, UNICEF's support to capacity development needs to focus on the capacity of rights-holders to claim their rights and of duty bearers to fulfil their obligations.

In 2009, a desk review was commissioned to examine UNICEF's approaches to capacity development with a view to supporting efforts to strengthen UNICEF's application of good practices in capacity development¹⁰⁷. The desk review report identified a number of shortcomings in UNICEF's approach to capacity development, including the lack of precise definition of this term.

UNICEF's 2009 Annual report to ECOSOC¹⁰⁸ provided the following definition for capacity development: "UNICEF views capacity development as a process over time through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to achieve their own development objectives, defined within norms of human rights and gender equality". It also highlighted UNICEF's objective to become more systematic and consistent in its approach to capacity development.

¹⁰⁴ A/64/665 "Keeping the promise: a forward-looking review to promote an agreed action agenda to achieve the Millennium Development Goals by 2015", Report of the Secretary General, 12 February 2010

¹⁰⁵ "Enhancing the UN's contribution to national Capacity Development, A UNDG Position Statement", October 2006 seeks to assist UNCTs in their capacity development efforts, especially those engaged in a UNDAF process; "UNDG capacity assessment methodology, User Guide: for national capacity development", February 2008; Technical brief on Programming Principles, UNDG, 2009; "Guidance Note, Application of the Programming Principles to the UNDAF", UNDG, January 2010

¹⁰⁶ Mission Statement, MTSP, PPPM. See also "Human Rights based approach to Development Programming"

¹⁰⁷ "UNICEF: Approaches to Capacity Development, Desk Review Report", September 2009

¹⁰⁸ E/2010/6 E/ICEF/2010/3, 16 November 2009

An important step in that direction is the background note on UNICEF's approach to capacity development prepared for the second regular session of the Executive Board in September 2010¹⁰⁹ which "describes how UNICEF, in close collaboration with partners, supports the development of the capacity of national and subnational government institutions and civil society organisations, community groups, families and caregivers to address gaps and disparities related to the realisation of the rights of children and women in development and humanitarian contexts".

The background note refers to the 2009 Annual report to ECOSOC for the definition of capacity development and highlights several key messages from UNDG's and UNDP's guidance documents on capacity development¹¹⁰. It finally suggests the following way forward:

- Adopt a more systematic, holistic approach to capacity development through enhanced UNICEF programme guidance and capacity;
- Ensure adequate focus on the most vulnerable and disadvantaged children and women by analysing and addressing the capacity gaps related to context-specific disparities at all levels;
- Strengthen the monitoring and evaluation system;
- Share evidence and lessons learned more systematically through enhanced knowledge management systems and practices.

The meta-evaluation on capacity development will assess the results obtained in capacity development in the Asia-Pacific region, in line with UNICEF's capacity development concept and approach summarised above.

2. Purpose of the evaluation

Several initiatives on capacity development are implemented in the Asia-Pacific region. However, there is limited knowledge on the relevance, effectiveness and sustainability of UNICEF's interventions in this area. In this context, this meta-evaluation is envisioned as a forward-looking exercise as it will attempt to assess what has been achieved so far with a view of further contributing to improve UNICEF's engagement in capacity development within diverse national contexts.

The evaluation has two main objectives:

1. To determine the extent to which UNICEF has been effective in delivering capacity development support in the region and the extent to which the capacity development support has contributed to results towards the realisation of the rights of children and women.
2. To identify strategic issues and options that will allow UNICEF to better support capacity development in the region. To this end, the evaluation is expected to derive recommendations and to distil lessons towards:
 - i. Improving strategies and approaches for capacity development support; and
 - ii. Strengthening UNICEF's strategic positioning within various national contexts, and its comparative advantage in supporting capacity development.

The evaluation will not necessarily seek to evaluate the impact of UNICEF's support to capacity development.

It is expected to be underpinned by a formative approach; hence, it should help raise awareness and increase knowledge on capacity development and capacity development support while disseminating good practices in this area.

The evaluation could also potentially feed into ongoing efforts at headquarters level regarding UNICEF's approach to capacity development and contribute to discussions on the monitoring and evaluation system of capacity development support within UNICEF.

¹⁰⁹ E/ICEF/2010/CRP.20 3 August 2010 The oral report was finally presented during an informal consultation on capacity development on 21 October 2010.

¹¹⁰ Such as the three interrelated levels of capacity in the country (individual level, organisational, institutional and community level, and the enabling environment); the five steps to be followed for integrating capacity development into the country programming process; or the need for a systemic approach to capacity development, a holistic approach integrating all three levels of capacity and the need for an iterative process.

Evaluation users

The Regional Management Teams of South Asia and East Asia and the Pacific who have commissioned this evaluation constitute the primary audience of this evaluation.

Country-office programme staff, regional advisers in Asia-Pacific and staff within the wider organisation as well as stakeholders will also benefit from it.

3. Scope and focus

The evaluation will examine past and current initiatives related to capacity development undertaken by UNICEF in the region over the period from 2007 to 2010. It will mainly examine support provided by the country offices but will also take into account the role of regional offices and headquarters in supporting country offices in their capacity development initiatives.

The evaluation will focus on capacity development support aimed at helping Government institutions/service providers improve their overall performance and ability to adapt within a changing context with regard to the realisation of children's and women's rights. It will also examine, as necessary, technical capacity development carried out by UNICEF in the context of specific projects or programmes.

Capacity development support typically involves various approaches and modalities, training being only one of them. Training should therefore not be the main focus of this evaluation but should nevertheless be examined as an integral part of an array of responses to capacity development needs.

Evaluation questions

The evaluation will follow the OECD/DAC evaluation criteria of relevance, efficiency, effectiveness and sustainability, and will seek to answer the following questions:

Relevance

- To what extent is capacity development support in line with the principles of the Paris Declaration and the Accra Agenda for Action, as well as with existing UN and UNICEF global frameworks such as the TCPFR or the MTSP?
- To what extent are capacity development interventions in line with national development priorities?
- To what extent are capacity development interventions in line with UN Development Assistance Framework (UNDAF) and Country Programme (CP) objectives?
- To what extent do practices and policies take advantage of the body of evidence which is being produced on capacity development through lessons and experiences from the international development community?

Effectiveness

- Have capacity development efforts been effective according to expected results?
- Have capacity development efforts contributed to broader development results?
- What are the reasons for success or failure?
- Were the approaches and methods appropriate for achieving the capacity development results?

Efficiency

- Are the resources (funds, expertise, and time) allocated appropriate to support existing capacity development strategies and activities and to achieve expected results?
- To what extent have capacity development interventions made use of UNICEF's comparative advantage?

Sustainability

- To what extent has capacity development support helped institutional development of Government institutions/service providers, systems, mechanisms, policies and/or strategies?
- To what extent are the changes resulting from capacity development support sustainable? What are the contributing factors to make a durable change?

Cross-cutting issues

- To what extent have strategies underlying UNICEF's interventions, i.e. human rights, gender, equity, partnerships, advocacy, south-south cooperation, etc. favoured or constrained the effective implementation of capacity development support?

4. Evaluation Methodology

The meta-evaluation¹¹¹ on UNICEF's support to capacity development in Asia and the Pacific will require analysis at various levels, across various sectors and in various countries of the region. The analytical work will mainly be conducted through an in-depth meta-analysis of previous studies, assessments and evaluations related to capacity development emanating from UNICEF and other relevant partners, in particular the UN. UNICEF's strategies at global, regional and country level will also be thoroughly examined in the light of existing frameworks for and approaches to capacity development developed by relevant partners.

The meta-analysis will be complemented by case studies as well as by consultations and focused interviews with stakeholders at regional and country level on key questions of the study.

Staff views on UNICEF's capacity development efforts will also be elicited through interviews or surveys in order to understand staff's perception of what has worked or not worked and how capacity development support should be addressed in the future.

Desk review

Both primary and secondary data will be collected and triangulation methods will be used when necessary to enhance validity and reliability. Some of the sources for information generation and data collection are outlined below:

- Literature review of a broad range of information on capacity development and related fields, including pertinent evaluations in this area. Special attention should be given to relevant UN documents such as General Assembly resolutions, the TCPR, and annual reports to ECOSOC as well as existing guidance documents and practice notes developed by the UNDG (and its individual member agencies, in particular UNDP).
- Review and analysis of a wide range of UNICEF documents at global, regional and country level including: (i) relevant global policy documents and strategies; (ii) existing UNICEF evaluations and desk reviews related to capacity development; (iii) regional documents and studies; (iv) country-office programme documents, situation analyses and annual reports etc.

Case studies

Case studies, in selected countries, will be undertaken for a more in-depth assessment. Given the limited resources, it is suggested that one or two countries be selected within the South Asia region and one or two countries within the East Asia and Pacific region.

The following countries are suggested as an initial short list to select from:

- For South Asia: Bangladesh, India, (Sri Lanka)
- For East Asia and the Pacific: Myanmar, Philippines, (Cambodia)

The selection of countries will be based on the following considerations and will be informed by discussions with key informants and research:

- Capacity development interventions implemented ideally at various levels and with various implementing partners;
- Capacity development interventions targeting both duty bearers and rights holders;

¹¹¹ According to OECD's glossary of key terms in evaluation and results based management (2002), Meta-evaluation is a term "used for evaluations designed to aggregate findings from a series of evaluations".

- Countries with diverse development contexts i.e. middle income countries, low income countries, hasard-prone countries;
- To the extent of possible, UNDAF roll-out countries should be considered.

Challenges

Given the more qualitative nature of capacity development, evaluating capacity development presents several challenges for measurement and evaluation especially in a development context.

Furthermore, differences within UNICEF in understanding the concept of and approaches to capacity development result in even greater difficulties in measuring and evaluating capacity development support.

As mentioned above, recent official documents produced by UNICEF¹¹² have suggested the following definition: “Capacity development is a process over time through which individuals, organisations and societies obtain, strengthen and maintain the capabilities to achieve their own development objectives”. This definition reflects the belief, shared by many development partners, that capacity development is an endogenous process that is country owned. UNICEF can only support or facilitate the process and therefore it cannot be responsible and accountable for delivering results; only country stakeholders can be held responsible for capacity as performance. The PPPM clearly outlines UNICEF’s accountability with regard to capacity development in the Country Programme Approach.

These challenges need to be addressed through careful refinement of the approach and methodology suggested for this evaluation during the inception phase.

5. Evaluation work plan

Outputs

The main output will be an evaluation report that is compliant with UNICEF-Adapted UNEG Evaluation Report Standards. The report should be written in English and submitted to APSSC for approval and wider dissemination.

Key stages

The evaluation will be undertaken over an estimated period of 4 to 5 months which will include the following key stages:

1. Orientation and initial desk review, including consultations with key stakeholders to define the scope and focus of the evaluation.
2. Roadmap and inception report.
3. Data collection and analysis.
4. Field mission: visit to 2 or 4 countries from South Asia and East Asia and the Pacific to collect information in accordance with the evaluation work plan. The duration of each country visit should be of seven days including travel from Bangkok.
5. Executive progress report.
6. Draft evaluation report submitted for comments and discussion on results.
7. Final evaluation report submitted for approval.

Management arrangements

APSSC through its regional evaluation advisor will be responsible of the overall management of this evaluation.

The evaluation will be conducted by an independent international consultant/team with expertise and experience in capacity development and in evaluation.

A reference group will be set up prior to the evaluation process. The reference group is expected to be involved in key stages (inception report including methodology, progress update, preliminary report, final report).

¹¹² “Annual report to the Economic and Social Council”, 16 November 2009 (E/2010/6-E/ICEF/2010/3) and “The approach of UNICEF to capacity development” Oral report background note, 3 August 2010 (E/ICEF/2010/CRP.20 3)

The reference group will consist of:

- One or two representatives nominated from ROSA and EAPRO
- Two Country Office Representatives from each region
- The Regional Adviser Evaluation (APSSC)
- A UNEDAP representative

Annex 2: Stakeholders / Persons Consulted

Stakeholder	No. of People	Types of Interview
UNICEF Regional Offices		
APSSC, EAPRO and ROSA	20	Semi-Structured Interview
India Country Office		
HQ Staff	23(including SMT and sector staff of Health, Nutrition, Polio, HIV/AIDS, Wash, Education, ECD, Child Protection Advocacy and Partnership, C4D)	Semi-Structured Interview
Sub-Office Staff	5	Semi-Structured Interview
Government Representatives	2	Semi-Structured Interview
Implementing partners	7	Semi-Structured Interview
Bangladesh Country Office		
HQ Staff	14	Semi-Structured Interview
Sub-Office Staff	1	Semi-Structured Interview
Government Representatives	9 (Dhaka Level) 7 (sub office level)	Semi-Structured Interview
NGO and NGO partners	4 (Dhaka level) 8 (sub-office level)	Semi-Structured Interview
Donors	1	Semi-Structured Interview
UN Agencies	2	Semi-Structured Interview
Philippines Country Office		
HQ Staff	11	Semi-Structured Interview
Government Representatives	27	Semi-Structured Interview
Implementing partners	6	Semi-Structured Interview
Myanmar Country Office		
HQ Staff	20	Semi-Structured
Sub-Office Staff	4	Semi-Structured Interview
Government Representatives	18 Nay Pyi Taw 3 Mandalay	
Implementing partners	25 (plus 16 adolescents)	Semi-Structured and Open Interview
UN Agencies	4	Semi-Structured Interview

Annex 3: Summary of UN Operational Agreements on ‘Capacity Building’

Summary of UN Operational agreements on ‘Capacity Building’*

- *Recognizes* the importance of ownership of national development strategies for reaching the MDGs, and the need for national strategies for capacity development
- *Urges* UN organisations to intensify inter-agency sharing of information concerning learning on capacity building initiatives
- *Encourages* UN organisations to report on capacity development activities in their routine reporting to governing bodies
- *Calls upon* UN organisation to support enhancement of developing country capacities to better utilize the various aid modalities
- *Also calls upon* UN organisations to adopt measures that ensure sustainability in capacity-building activities, making use as much as possible of national execution and national expertise
- *Stresses* that developing countries should have access to new and emerging technologies in order to meet MDG and other development goals
- *Encourages* the UN system to support the national development strategies and plans of countries with economies in transition that face difficulties in reaching the MDGs and other internationally agreed development goals

* Source: General Assembly Resolution 59/250. Triennial comprehensive policy review of operational activities for development of the United Nations system in UNDP, UNFPA, UNICEF and WFP, Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF and WFP 20 and 23 January 2006. United Nations. Background Document.

Annex 4: OBJECTIVES AND SCOPE OF THE EVALUATION

Evaluation Questions for each of the DAC Evaluation Criteria

DAC criterion	Evaluation Questions
Relevance	<p>To what extent are capacity development interventions in line with CRC and CEDAW and with national development priorities?</p> <p>To what extent is capacity development support in line with the principles of the Paris Declaration and the Accra Agenda for Action, as well as with existing UN and UNICEF global frameworks such as the TCPR or the MTSP?</p> <p>To what extent are capacity development interventions in line with UN Development Assistance Framework (UNDAF) and Country Programme (CP) objectives?</p> <p>To what extent do practices and policies take advantage of the body of evidence which is being produced on capacity development through lessons and experiences from the international development community?</p>
Effectiveness	<p>Have capacity development efforts been effective according to expected results?</p> <p>Have capacity development efforts contributed to broader development results?</p> <p>What are the reasons for success or failure?</p> <p>Were the approaches and methods appropriate for achieving the capacity development results?</p>
Efficiency	<p>Are the resources (funds, expertise, and time) allocated appropriate to support existing capacity development strategies and activities and to achieve expected results?</p> <p>To what extent have capacity development interventions made use of UNICEF's comparative advantage?</p>
Sustainability	<p>To what extent has capacity development support helped institutional development of Government institutions/service providers, systems, mechanisms, policies and/or strategies?</p> <p>To what extent are the changes resulting from capacity development support sustainable? What are the contributing factors to make a durable change?</p>
Cross-Cutting Issues	<p>To what extent have strategies underlying UNICEF's interventions, i.e. human rights, gender, equity, partnerships, advocacy, south-south cooperation, etc. favoured or constrained the effective implementation of capacity development support?</p>

Scope and Focus of the Evaluation

The Evaluation covered selected past and current initiatives related to capacity development undertaken by UNICEF in the region in the period 2007 – 2010. Focus was on the support provided through Country Offices, though the role of Regional Offices, and APSSC in providing support to Country Offices in their capacity development initiatives was also taken into account. The evaluation included UNICEF support to Government institutions / service providers to improve their overall performance and ability to realise children's and women's rights within a changing

context, as well as technical capacity development in the context of specific projects and programmes.

In response to the discussion on to what extent capacity development can be considered as a means to an end or as a aim in itself, the evaluation looked at aspects of capabilities enhanced as well as at results in terms of enhanced organisational (or individual) performance.

Attention was paid to UNICEF's use of a rights-based approach and how this links with the approaches used in capacity development. With RBA paying specific attention to the process, the team looked at attention paid to process issues in capacity development initiatives and issues of process use in order to probe linkages concerned. Given the importance of gender mainstreaming within UNICEF the team looked at the way in which gender is incorporated and gender issues addressed through initiatives concerned. With the focus in UNICEF increasingly on issues of equity and social inclusion, the evaluation moreover, looked at the extent to which capacity development initiatives address equity issues in analysis, design, implementation and monitoring and evaluation.

The evaluation covered all the MTSP focus areas and themes and included all stages of the programme cycle, including analysis, design, implementation and monitoring and evaluation. In addition to UNICEF's programming there was attention to UNICEF's own, changing, capacities to support capacity development processes at organisational, societal as well as individual levels.

Informed by the discussions with the Evaluation Reference Group, the evaluation team further enhanced the focus of the evaluation by putting greater emphasis at the organisational level of capacities, though without completely excluding the other two levels and paying specific attention to the results chain, including the linkages between enhanced capacities, changes in performance and contribution to the realisation of rights of children and women.

Framework for Capacity Development in International Development

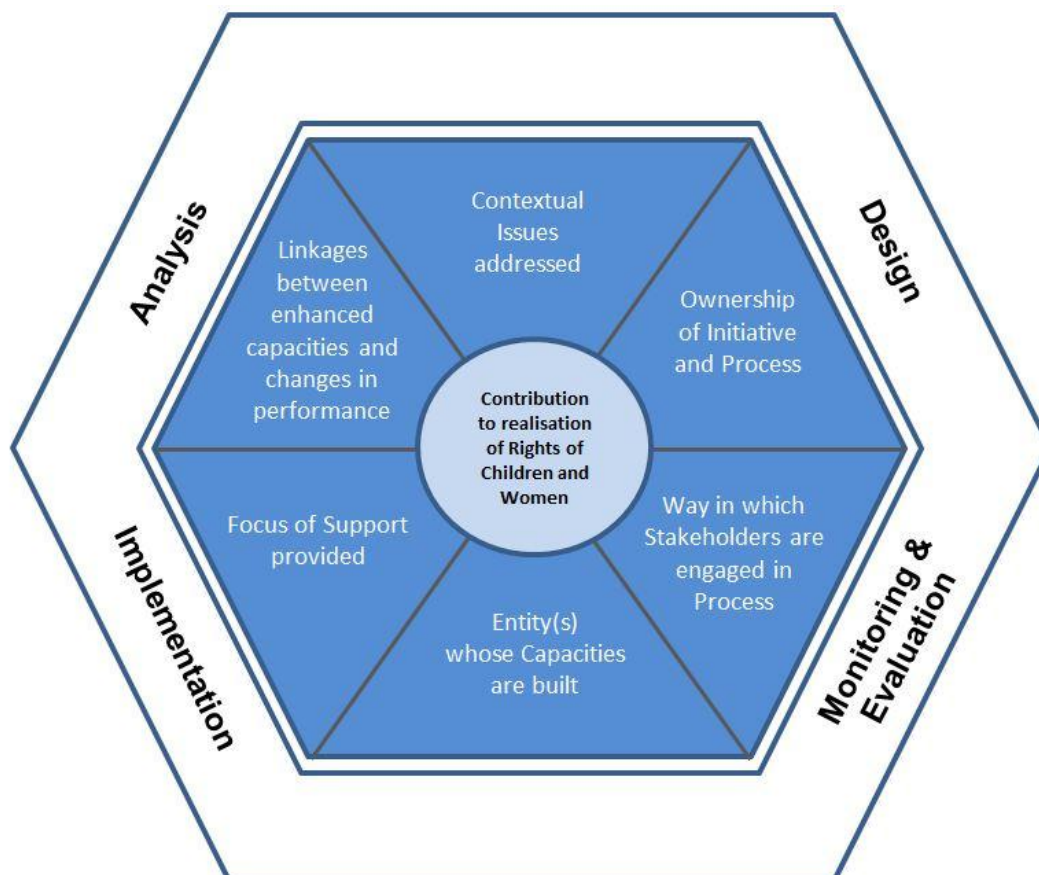
Several studies have been conducted on the monitoring and evaluation of capacity assessment.¹¹³ Each of these studies is based on a number of case studies of specific capacity development programmes and reflects the experience of the organisations concerned over a substantial period of time. In these studies a set of issues is raised which relate to the approach that organisations apply to their capacity development initiatives.

One of these issues concerns the level of national / local ownership of the initiative and whether the process is primarily 'outside' or 'inside' driven. The ways in which stakeholders are engaged in the process and commitments concerned as well as which entities are selected to actively participate are other important factors. Support can focus on various aspects of the organisations and may include organisational as well as technical aspects. It was found that capabilities built do not automatically and necessarily result in improvements in performance. Ill focused capacity development was found to be able to draw attention away from the real important issues within an organisation and could thus undermine performance. Finally there is the issue of how improved performance links with the goals that one wants to achieve, in UNICEF's case the realisation of rights of children and women.

Based on these studies key elements of a capacity development approach have been distilled which have been combined with the specific human rights focus that is incorporated in the UNICEF definition of capacity. This has results in seven key issues of an approach to capacity development. The resulting framework is presented in Figure 2 below and will be used to guide the evaluation.

¹¹³Horton, D et.al. *Evaluating Capacity Development. Experiences from Research and Development Organisations around the World.* Canada / The Netherlands 2003; Baser Heather and Peter Morgan *Capacity, Change and Performance, Study Report.* European Centre for Development Policy Management Discussion Paper No 59B, April 2008 and Inter-American Development Bank, International Development Research Centre *Organisational Assessment. A Framework for Improving Performance.* Washington DC / Ottawa, 2002.

Key Issues of Approaches to Capacity Development



The framework consists of six key aspects of approaches to capacity development including aspects of ownership, the way in which stakeholders are engaged in the process, the stakeholders / entities that are selected for capacity development, the kind of capacities that are being built, how enhanced capabilities relate to changes in performance and how this relates to the wider context and contextual issues addressed.

Each of these characteristics can be further assessed in terms of how the issues concerned are dealt with in the various stages of the programming cycle. For example regarding focus of support provided one can look at the extent to which the selection of types of capabilities to be enhanced is based on analysis conducted, what was designed to be addressed, how this actually works out in the practice of implementation, and how process and results were monitored and evaluated. The inner circle of the diagram refers to the impact that is meant to be achieved, and rather than assessing impact, the evaluation looks at whether changes in performance are likely to influence and contribute to the realisation of rights of children and women.

Details of key Issues of Approaches to Capacity Development

Issue	Details
Way in which stakeholders are engaged in process	<ul style="list-style-type: none"> • The approach taken to engagement with stakeholders • The level of commitment amongst parties concerned
Entity(s) whose capacities are built	<ul style="list-style-type: none"> • Who are selected for development of capabilities, right holders / duty bearers • Reasons for selection and strategic aspects concerned
Focus of support provided	<ul style="list-style-type: none"> • What capabilities are being addressed (technical, organisational, other) • Focus on formal / informal and tangible / intangible aspects • Does the focus represent the priorities of the organisation as a whole • Level of attention to the process of capacity development and process use
Linkages between enhanced capabilities and changes in performance	<ul style="list-style-type: none"> • How do enhanced capabilities relate to changes in performance • What works, what does not work and why • How are changes in performance affected by contextual constraints and conducive factors
Contextual issues addressed	<ul style="list-style-type: none"> • Which contextual issues are being addressed by the initiative • To what extent is an environment conducive to learning establishes • Is political support obtained from higher level
Ownership of initiative and process	<ul style="list-style-type: none"> • To what extent is the initiative endogenous driven, making use of existing capacities • To what extent is the process endogenous, participation in all stages of the programme cycle • Level of autonomy of the organisation concerned
Contribution to realisation of Rights of Children and Women	<ul style="list-style-type: none"> • Are changes in performance likely to contribute to the realisation of rights of children and women
UNICEF capacities to support capacity development	<ul style="list-style-type: none"> • What are the capacities of UNICEF to support capacity development initiatives • How has UNICEF built its own capacities to be better able to support capacity development

Annex 5: Results Framework of UNICEF MTSP 2006-2013

UNICEF MTSP Focus area 1: Young child survival and development			
<p>Strategic Intent — Countries acquire the capacities and systems to ensure the right of the child to survival, growth and development and to achieve the highest attainable standard of health.</p> <p>Priority Goal — Millennium Development Goal 4: Reduce child mortality Target 5: Reduce U5MR by two thirds between 1990 and 2015.</p>			
<p>Key result area 1: Scale up high-impact health and nutrition interventions¹</p>	<p>Key result area 2: Improved family and community care practices that impact on young child survival, growth and development</p>	<p>Key result area 3: Increased access to, and use of, safe drinking water and basic sanitation</p>	<p>Key result area 4: In declared emergencies, every child is covered with life-saving interventions (as per CCCs)</p>
UNICEF MTSP Focus area 2: Basic education and gender equality			
<p>Strategic intent — Parents, communities and Governments acquire the capacities and support necessary to fully implement their obligation to ensure the right of all children to free, compulsory quality education.</p> <p>Priority Goal — Millennium Development Goal 2: Achieve universal primary education. Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling.</p>			
<p>Key result area 1: Improve children's developmental readiness to start primary school on time, especially for marginalised children</p>	<p>Key result area 2: Reduce gender and other disparities in relation to increased access, participation and completion of quality basic education</p>	<p>Key result area 3: Improve educational quality and increase school retention, completion and achievement rates</p>	<p>Key result area 4: Restore education in emergencies and post-conflict situations, and help safeguard education systems against the HIV/AIDS pandemic</p>
UNICEF MTSP Focus area 3: HIV/AIDS and Children			
<p>Strategic intent — To put young children and adolescents at the centre of the HIV/AIDS agenda and build the capacities of Governments</p> <p>To halt and begin to reverse the spread of HIV/AIDS among children up to the age of 18 years.</p> <p>Priority Goal — Millennium Development Goal 6: Combat HIV/AIDS Target 7: Halt by 2015 and begin to reverse the spread of HIV/AIDS.</p>			
<p>Key result area 1: Reduce the number of pediatric HIV infections; increase the proportion of HIV-positive women receiving ARVs; increase the proportion of children receiving treatment for HIV/AIDS</p>	<p>Key result area 2: Increase the proportion of children orphaned or made vulnerable by HIV/AIDS receiving quality family, community and government support</p>	<p>Key result area 3: Reduce adolescent risks and vulnerability to HIV/AIDS by increasing access to and use of gender-sensitive prevention information, skills and services</p>	

UNICEF MTSP Focus area 4: Child Protection from violence, exploitation and abuse

Strategic intent — To place the protection of children from violence, exploitation and abuse more prominently on the development and humanitarian agendas of Governments, and make the protective environment more effective for all children.

Priority Goal — Millennium Declaration (especially Section VI).

<p>Key result area 1: Government decisions are influenced by increased awareness of child protection rights and improved data and analysis on child protection</p>	<p>Key result area 2: Ensure effective legislative and enforcement systems and improved protection and response capacity to protect children from violence, exploitation and abuse, including exploitative child labour</p>	<p>Key result area 3: Better protection of children from the impact of armed conflict and natural disasters (as per CCCs)</p>	<p>Key result area 4: Children are better served by justice systems which ensure greater protection for them as victims, witnesses and offenders</p>	<p>Key result area 5: Children and families identified as vulnerable are reached by key community and government services aimed at reducing their marginalisation</p>
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UNICEF MTSP Focus area 5: Policy Advocacy and partnerships for Children's Rights

Strategic intent — Governments, CSOs, parliamentarians and other partners at national and international levels work together to develop and implement social and economic policies, legislative measures and budgetary allocations that advance the realisation of children's and women's rights and gender equality.

Primary Reference: Convention on the Rights of the Child

Related Goals and Commitments: Goal 1: Eradicate extreme poverty and hunger; Goal 8: Develop global partnerships for development; Convention on the Elimination of All Forms of Discrimination against Women; Convention on the Rights of the Child.

<p>Key result area 1: Collect and analyse strategic information on the situation of children and women</p>	<p>Key result area 2: Research and policy analysis on children and women</p>	<p>Key result area 3: Policy advocacy, dialogue and leveraging</p>	<p>Key result area 4: Enhanced participation by children and young people</p>
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Annex 6: Evaluation Methodology

The Thematic Evaluation consisted of six stages in which existing documentation was reviewed, briefing and de-briefing meetings conducted, data gathered from various stakeholders concerned and analysed, draft and final reports written and evaluation results presented. An overview of the various stages and methodologies applied is presented below.

The desk review at the start of the process allowed for the evaluation to make optimal use of existing information on capacity development in international development programming in general and on UNICEF's programming and approaches more in particular as well as on other related materials including country specific documentation.

For the field work of the Thematic Evaluation four Country case studies were included. This was meant to substantiate the evaluation with the work that UNICEF supports in selected country offices in the Asia-Pacific region. Country offices selected in this respect included India and Bangladesh from the South Asia Region and Philippines and Myanmar from the Southeast Asia-Pacific region. The country offices were selected by UNICEF and offices concerned had shown interest to be involved in the thematic evaluation. With the variety in country contexts in both regions, the selected country case studies are not expected to represent the region as a whole but to reflect sets of conditions that exist in various parts of the regions. This relates to the learning and forward looking orientation of the evaluation based on a range of practices of UNICEF's work in the region.

Within each of the country offices the team will visit the UNICEF Country Head Office and a selected field office or state office (the latter in the case of UNICEF India) in order to deepen the analysis and to get closer to the implementation level of projects and programmes concerned through discussions with staff and partners at the field office / local level.

Stages of the Evaluation Process and Methodologies

Stage	Description	Methodology
Stage 1	Review of Existing Documentation	Desk Review of available written information and documentation
Stage 2	Meetings with key UNICEF stakeholders to fine tune Evaluation objectives, scope and methodology and to assess initiatives and support on regional level	Meetings with Senior Management of APSSC, EAPRO and ROSA and semi-structured interviews with advisors from MTSP Focus and Thematic Areas
Stage 3	Meeting with the Evaluation Reference Group to discuss the Inception Report	Teleconference with the Evaluation Reference Group members in which the Inception Report was presented and feed-back provided, which was incorporated in the final inception report
Stage 4	Country Case Studies in India, Philippines, Bangladesh and Myanmar	Briefing with Senior Management team Introduction meeting with key UNICEF staff to introduce the thematic evaluation and to involve them in the process Semi-structured interviews <ul style="list-style-type: none"> ➢ UNICEF senior management team ➢ M&E Advisers ➢ Key counterpart agencies ➢ Selected UN and development partners / (I)NGOs Focus group discussions with <ul style="list-style-type: none"> ➢ Focus Area / Sector advisors and teams ➢ Advisers / teams of thematic issues Lessons learned meeting with key UNICEF staff to present key findings and to identify good practice and lessons learned Debriefing with Senior Management Team
Stage 5	Analysis and reporting	Analysis of data gathered and draft and final report writing
Stage 6	Presentation of the Evaluation Results to UNICEF staff	Meeting with key UNICEF stakeholders in which the findings, conclusions, recommendations and lessons learned of the evaluation were presented, evaluation results are discussed and feed-back provided for the finalisation of the evaluation report

The evaluation team applied an appreciative approach, valuing what has been achieved so far, probing good practices as well as challenges faced and the contexts in which these occurred, and looking for the reasons for success and less successful (parts of) initiatives.

The main data gathering instruments of the Thematic Evaluation include desk review, semi-structured interviews and focus group discussions. Use was moreover made of reports of MTRs and evaluations conducted on capacity development initiatives for the selected country case studies.

Participation of Stakeholders

With the Thematic Evaluation focused on UNICEF support to capacity development initiatives, the approach of the team was to actively engage UNICEF staff in the evaluation process. This was done at the start of country case studies, by introducing the evaluation to the UNICEF programme staff, engaging them in the evaluation process. At the end of each of the country visits a presentation was made on initial findings, which were validated in discussion, which moreover focused on identification of good practice and lessons learned.

In addition to UNICEF staff members, viewpoints were sought from UNICEF's main counterpart Government agencies, from civil society organisations and INGOs, from other UN agencies and from other development partners that work in partnership with UNICEF or otherwise on similar issues.

Annex 7: Context and Key Indicators across Case Study Countries

Key Indicators across Case Study Countries¹¹⁴

Indicators	Bangladesh	India	Myanmar	Philippines
Population				
Total Population (million) (2009)	144.6 (2008)	1,198.0	50.0	91.9
Population aged under 18 as % of total Population (2009)	45 % (2008)	37 %	32 %	40 %
Population aged under 5 as % of total Population (2009)	13 % (2008)	11 %	9.3 %	12 %
Economy				
GDP per Capita (2009)	543 USD	1,028 USD	587 USD*	1,790 USD
Annual growth rate of GDP (2009)	5.9 %	7.2 %	8.2 % (1990-2009)	1.9 % (1990-2009)
Total ODA as % of Gross National Income (2008)	2.4 %	0.2 %	-	0 %
LDC status (2011)	Yes	No	Yes	No
Poverty / Inequality				
Human Development Index Rank (UNDP 2010)	129	119	132	97
Gender Inequality Index Rank (UNDP 2010)	116	122	-	78
Gini Coefficient of Income Inequality (2005)	47	36.8 (2000-2010)	-	-
Population below International Poverty Line in % (1994-2008)	50 %	42 %	25 % [@]	23 %
Health & Nutrition				
Under 5 Mortality Rate (2009)	64	66	71	33
Maternal Mortality Rate (2008)	194 (2010)	230	240	94
Education				
Primary School Net Enrolment Rate (2009)	93.9	89.8 % (2001-2009)	84 % (2005-2009)	92 % (2005-2009)
Females as % of males enrolled (2009)	111	96 % (2005-2009)	101 % [@]	102 % (2005-2009)
Child Protection				
Birth registration (%) (2009)	54 %	41 % (2000-2009)	72 % [@]	-
Child Marriage (2000-2009)	66 %	47 %	7 % [@]	14 %

* Data from IMF, World Economic Outlook

[@] Data from Country Office

¹¹⁴ Data on indicators are from UNICEF Child Info database available on UNICEF's website, unless otherwise indicated. UNICEF Regional Office South Asia, 2011 South Asia Data Pocketbook, 2011.

Annex 8: Good Practices in UNICEF Support to Capacity Development

a) UNICEF Support to Micro Planning to enhance Results for Women and Children in Maharashtra, India

UNICEF supported the development of an approach to micro-planning, enhancing the efficient use of local resources for the benefit of communities, including children, women and other vulnerable groups. A five day planning model was developed in which local communities and functionaries take stock of and analyse the present situation across relevant sectors, including available resources, vision where they would want to be over a five year period, and identify the gap between the two. Key problems and constraints in bridging the gap are identified and prioritised and possible solutions discussed. The latter are at community level, *panchayat* level and service provider level. Local elected members of the Gram Sabah are included to enhance accountability of service providers. The plan developed in this way is meant to influence the decentralised district planning process, for which guidelines have been elaborated by the Planning Commission. Multiple community plans are coordinated and brought together at the district level. The District Planning Committee is the nodal body for final approval of the district plan, and needs to integrate all *panchayat* level plans at the district level. The micro-planning process is in line with suggestions for village participation in planning processes in the fifties and eighties and is further enhanced by the decentralisation process of the 73rd and 74th amendments of the Indian Constitution. UNICEF's role consisted of advocating for the approach, technical support and financing the projects. Over time UNICEF's role shifted increasingly towards knowledge management and policy advocacy and away from implementation.

In support of the process of micro planning UNICEF worked in partnership with YASHADA and SPARSH. YASHADA is the training institute of the Government of Maharashtra and UNICEF supported YASHADA in the set-up of the Centre for Community Managed Programming which aims to support community based planning processes. This was done through knowledge management on micro planning, training of facilitators and functionaries in a cascaded approach, advocacy for support to micro planning at various levels, networking at local, state and national level in order to disseminate experiences and piloting of different local planning models. The relationship between UNICEF and YASHADA in Maharashtra is longer term. Micro planning achievements have included the extension of the process to 12,000 villages across 110 blocks in 27 districts of the state, with the funding borne by several GOI flagship social programmes. Yashada provided a large amount of training events, including training to 14 other states, after the decision in 2005 to expand micro planning as part of the Integrated District Approach (IDA)¹¹⁵. Yashada supported various pilots regarding the planning process at community, block and district levels and was involved in policy advocacy, which led to the integration of the basic process of micro planning and block response planning into the Manual of Integrated District Planning in 2009, issued by the GOI Planning commission.

UNICEF has been working with SPARSH, the Centre for Participatory Learning, since 2007 and played an important role in its creation. SPARSH naissance originates in the pool of resource persons consisting of trainers and facilitators which had been trained through various UNICEF supported initiatives. SPARSH organised these trained persons in order to support the development and implementation of training in GOI as well as donor supported development programmes. At present the SPARSH network consists of about 800 trainers and in addition to multiple training courses conducted for the Integrated District Approach, SPARSH has conducted, child rights training for NGOs and village volunteers, HIV/AIDS awareness training for local officials and NGO representatives, training of village forest committee members in 30 districts of Maharashtra and most recently cascade training of a large number of census enumerators, country wide amounting to 54,000 master trainers. UNICEF has contracted SPARSH to provide training of trainers on life skills for adolescent girls in the *Deepshikha* project. The training approach of SPARSH is not lecture based but oriented on peer learning making use of multiple means including group discussion and role play. Training needs are usually assessed at the level of an organisation, rather than at individual participant level.

¹¹⁵ The integrated District Approach (IDA) combines participatory planning with support to service providers to enhance capacities for delivery of health and other social services. UNICEF, ODI, *Governance for Children's Rights. Integrated District Approach*. March 2011.

The Micro-Planning as good Practice Example:

- The support provided by UNICEF led to the development of a model for micro-planning with greater voice of local communities which was subsequently used in the Integrated District Approach across the country, supporting in this way a systems change.
- Participatory planning was based on participatory assessment of the present situation compared with a visioned future state and short and medium term plans created to fill the gap between the two.
- The training approach taken by the initiative did not limit itself to training for the specific project activities concerned but the approach included the development of the capacities of one GOI and one NGO training provider and thus enhancing the capacity to provide training beyond the initiative concerned
- Both organisations and the models concerned were implemented on a scale that is of relevance to the issues concerned in India and both training organisations can work on a scale that is large enough to be significant in the Indian context.
- The more systemic approach taken in the initiative is based on a longer term commitment to the issue of micro planning and systemic capacities within the state of Maharashtra, underpinned by UNICEF's long term presence in the state

b) EPI in Bangladesh, a case of Long-term incremental capacity development

In unison with UNICEF, WHO, the government of Bangladesh (GoB) and multiple other partners, EPI Bangladesh is on track for extending immunisation coverage to 98% by the end of 2011. By 2015, the project aims to reach a coverage rate of 85 % in 15 of the poorest performing districts. Over a period of 10 years, the UNICEF's capacity development role has spanned from hiring and mentoring health managerial staff, to the design and provision of C4D to rights holders. In collaboration with WHO and other partners, UNICEF trained GoB public health personnel to conduct annual EPI National Coverage Evaluation Surveys (CES). Since 1991, fifteen CES have been conducted enabling GoB to refine its EPI campaign to address low coverage areas. UNICEF's role has included financially supporting the piloting of 'pay for performance' initiative in twelve public facilities. The findings will be potentially very useful for understanding the use of incentives to increase staff motivation and learning retention from capacity development investments¹¹⁶.

The following list summarises what has worked for EPI capacity development intervention:

- **Multiple partner collaboration and coordination:** the insight to draw upon comparative advantages of respective agencies, training institutions and multiple ministries. For example, in preparation of disbursing cold storage assets to GoB, the Finnish Government- through the provision of technical advisers- offered high calibre technical guidance and training on 'supply chain and cold storage management' to GoB health personnel
- **UNICEF adopting a brokering role:** through policy and sector-wide meetings. The brokering role has led to a) a long-term 'costed' plan linked with increasing EPI coverage rates b) multi-partner agreement on performance measure procedures of EPI GoB teams and c) targeting capacity development support to those officials with authoritative decision making powers
- **A long term, gradual and incremental approach:** A series of trainings, needs assessments and feedback loops was intentionally designed to build upon existing capacities.
- **Nurturing a close working relationship with gatekeepers** of data management and health management decisions in every district, in this case, civil surgeons. The strategic placement of two technical assistants (TA) to coach and mentor each civil surgeon over a number of years, to plan, manage, monitor and use MIS. A good working relation with the Ministry of Health enabled funding support to hire almost twice as many TA by 2010 (i.e. a rise from 64 to 120 TAs)
- **Jointly embedding a heavily data driven (web-based) organisational culture** within government run entities helped reinforce the regular use MIS systems by civil surgeons (system particularly suited to epidemiological, verifiable targets). The data system is known to work because it is relatively simple to administer and manage. By making corrective decisions based on real-time data, civil surgeons see the positive variance to coverage rates and are further motivated to use the system. In effect, the system is maintained because of its efficacy and not because it is pushed as a compliance measure.
- **Financial support** from development partners assisted the GoB to phase-in new health units located at sub-national level, these units are mandated to manage the EPI programme.
- **The funds and political sensitivity to navigate the government personnel system:** UNICEF directly hired personnel to support district level EPI health staff. UNICEF also managed the hiring process appropriately, and showed key stakeholders that supplementing government staffing can be done without undermining the role of GoB
- **Knowing when to shift roles:** As GoB increased in its ability to manage a nation-wide immunisation campaign, UNICEF's role was adjusted to other functional areas of support to sustain the rigour of MIS data, service quality and EPI coverage
- **The benefits of providing low-cost pilot demonstration funds** so that UNICEF could play a strategic role in the scale up process

¹¹⁶ Bangladesh Country Office Annual Report 2010

c) HIV/AIDS STI National Strategy in Bangladesh

Considered as a comprehensive document, the process by which the Bangladesh National HIV/AIDS Strategy was developed is particularly informative for capacity development initiatives. Several project components were put in place in order for the National AIDS and STI Project (NASP)¹¹⁷ staff to finalise the strategy:

- As an advisory body to the GoB, the Steering Committee¹¹⁸ and National AIDS Committee (NAC) provide long-term strategic guidance and programmatic oversight to a) the NASP and b) the HIV/AIDS Task Force. NAC's membership is made up of multi-stakeholders drawn from the UN Joint HIV/AIDS team, NGOs, Department of Health and relevant research institutions
- The newly established and government-led HIV/AIDS Task Force, assisted NASP to develop the HIV/AIDS strategy and a costed operational plan. The Task Force was also assigned oversight of the regional consultations and Functional Gap Analysis (i.e. capacity assessment) workshops
- A Capacity Development Specialist was hired to lend technical rigor to the design of the Functional Gap Analysis, the findings of which informed the development of the national strategy in concrete terms
- A six-month placement of a UNICEF funded HIV/AIDS Technical Adviser provided on-going technical advise, guidance and coaching to the NASP Programme Manager who was tasked with managing the overall *processes* related to the completion of the Gap Analysis and the five year National HIV/AIDS Strategy
- The physical placement of both technical advisers was intentionally set within the NASP office structure to offer intense and timely coaching to the NASP Programme Manager

The HIV/AIDS Strategy is a crucial inter-ministerial communication tool clarifying inter-ministerial linkages and responsibilities. Based on the findings from the Functional Gap Analysis, this document also describes the purpose and scope of a set of related sub-strategies to manage human resource capacity need over a period of five years, from national to sub-national level.

A strategic document, the National Strategy a-typically itemises organisational-level capacity competencies expected from a wide range of practitioners-from district medical and general officers, to HIV/AIDS peer group facilitators and community committee members. Capacity findings confirmed the need for improved planning across ministries and as a consequence, the National Strategy contains annual scheduling template of meetings for structural units and HIV/AIDS project teams at sub-national level. This level of detail has further enabled the six targeted ministries to understand their *linked* roles and responsibilities for each of the sub-national HIV/AIDS Units.

The value of the Functional Gap Analysis can be seen within the National HIV/AIDS Strategy but also within the mandate of the NASP. More specifically, the findings from the Gap Analysis influenced:

- The budget allocation allowing the recruitment of a team motivated to manage the operation of four NASP sub units. These units are clearly aligned to the objectives of the National Strategy, further strengthening NASP's capacity to manage and coordinate the national HIV/AIDS response:
 1. Monitoring, evaluation and strategic information unit
 2. Management, coordination and capacity development unit
 3. Prevention unit
 4. Treatment, care and support unit

¹¹⁸The Steering Committee is comprised of the Department of Health and six different target ministries including Education, Expatriate and Overseas Employment, Children and Women's Affairs, Labour and Employment, Information, Youth and Sports and Defence. The Ministry of Home Affairs has been given special priority because of its pivotal role in enabling the implementation of targeted interventions for most at risk people (MARF)

- The reduced risk of staff turnover during the five year inception phase of the NASP by issuing of medium term NASP tenures
- The increased level of NASP authority and decision making power supportive of policy development and operational management
- The primacy of instituting a rigorous MIS system to support inter-ministerial information sharing/collaboration at national and sub-national level
- The funds to run an annual HIV conference to maintain the continuum of building partnerships at regional and district level for duty bearers and rights holders
- The development of a broader strategy to promote an enabling environment for HIV/AIDS targets to be met (i.e. through local and national advocacy plans, the use of law enforcement agencies, the media, and development of district coordination agencies)
- NASP mandate to support government ministries and departments to engage their sectors in the HIV/AIDS response. The broad functional areas of capacity development focus have been agreed and contain training opportunities as well as technical support in
 1. Service Delivery (implementing an agreed framework to sustain inter-ministerial collaboration before, during and after HIV/AIDS service provision)
 2. Programme management (e.g. the development of HIV/AID integrated work plans)
 3. M&E (development of data management plans)
 4. Financial management (results based budgeting)

d) Support to addressing Human trafficking together with other development partners in Myanmar¹¹⁹

UNICEF Myanmar has supported the GOUM in its efforts to confront human trafficking and provided coordinated support to address issues concerned together with other development partners¹²⁰. The support included a wide range of issues:

- **Legal support**
Provision of support on legal aspects of human trafficking in close cooperation with other UN and development partners.
- **Support the set-up of an anti-trafficking task force**
This task force was initially meant to be temporarily but under the new government is expected to become permanent, there are 23 task forces throughout the country with a total of 176 officers
- **Training support**
UNICEF provided technical support via the Police Central Training Institute, including training curriculum, training and refresher courses for police officers and constables. Training programme was informed by a training needs assessment. Ten national trainers have been trained to provide future trainings.
- **Development of reference material**
UNICEF supported the development of norms and standards and a small booklet in Myanmar language with guidance for police officers on how to deal with children who come in contact with the law, issues of human trafficking and how to apply the norms and standards concerned.
- **Support to Bi-lateral high level meetings**
UNICEF supported several meetings between Myanmar and Chinese officials to discuss issues of human trafficking across the Myanmar – Chinese border, the same approach is expected to be applied for Myanmar – Thai discussions in the near future. Trafficking issues have a different background across the border with Thailand compared to China
- **Support to victim protection, recovery and reintegration**
UNICEF supported system for victim protection, recovery and reintegration. This included:
 - A 17 piece victim kit with basic necessities for victims who often ended up with no belongings when recovered
 - Child friendly interview room in police post with one established for training purposes in the Police Central Training Institute
 - Training of female police officers in dealing with victims of trafficking
 - Legal assistance to victims including the hiring of private lawyers
 - The Mekong Youth Forum was supported by UNICEF in which a voice was provided for victims of human trafficking to tell their story and to inform others of issues concerned
 - About 1,000 victims were supported on a yearly basis of which about half from cross border trafficking
 - Vocational training for victims of trafficking
- **Monitoring System**
A monitoring system was put in place as part of the National Plan of Action to Combat Human Trafficking which includes 6 monthly reviews

UNICEF focused in particular on the support of victims and their protection, recovery and reintegration. Australian support was oriented towards the prosecution of perpetrators. The support shows a systemic approach to the various issues concerned, UNICEF playing a role with a longer term engagement in the process in close coordination with other stakeholders.

¹¹⁹The Republic of the Union of Myanmar, Ministry of Home Affairs, The Central body for Suppression of Trafficking in Persons. *Myanmar Five-Year National Plan of Action to Combating Human Trafficking, 2010 Annual Progress Report*.

¹²⁰ Development partners included: UN Inter Agency Project on Human Trafficking, AusAid, IOM, WVM, Save and AFXB.

e) Training approach of the Child Protection Network in the Philippines

The Child Protection Network was established in 2002, but first conceived as the Child Protection Unit at the University of the Philippines Manila-Philippines General Hospital in 1997. The Network's mission is to achieve excellence in serving abused children and children at risk. UNICEF partnered with the Network and through it, numerous members drawn from the judiciary, health and social services to advance justice reform. By delivering the high profile 'Competency Enhancement Training' (CET) project, the Network has shown UNICEF how training effectiveness, can lead to behaviour change at an organisational level.

- **Multi-Disciplinary Team Training and Establishing a Critical Mass:** Groups of nine professionals including prosecutors, physicians, clerks and a police member were trained over a three day period- effectively capturing a highly relevant training audience drawn from both vertical and horizontal functions of the court system. Training whole teams from one court provided the necessary peer support to reinforce the use of newly acquired skills related to the enforcement of the law. Having trained 118 Family Courts (i.e.100%) in the Philippines, The Child Protection Network drew on the critical mass of child rights informed judicial professionals to collectively and successfully advocate for the RA9775 Anti-Pornography Act and the Juvenile Justice Bill
- **'Trigger Videos'** were used as a powerful and successful multi-media training tool during role simulation exercises. Jointly discussed among a group of trainees, the video feedback session pinpoints observable behaviour patterns of trainee judges seen to be either conducive to or unsupportive of, dispensing the law in a child friendly way. By watching themselves on video, and hearing feedback by other respected members of the judiciary, Judges were exposed to what child-friendly behaviour actually "looks like" in practical and non-jargon terms
- **Annual Refresher Conference and ToT:** kept the learning momentum going and enabled a 2nd generation of trainees to be trained by role models who are expert and passionate about implementing laws with child protection good practices firmly in mind. Refresher courses ensure There are now 743 CET trained and active professionals for the Network and government bodies to draw from for furthering the justice reforms
- **Evidence Based Practices:** Action research conducted by network members on 'The Unavailable Child', led to new judiciary guidelines improving the quality and timing of medical examinations following cases of child sexual and physical abuse ¹²¹. Subsequent CPN refresher courses were designed to contain the new evidence and practice methods, alerting legal and health personnel on the impact of family pressure on the child to drop the case (i.e. cases are dropped at a rate of 22%-29%). Following the issuance of new guidelines and training of key personnel, the Philippine General Hospital Child Protection Unit's monitoring system demonstrated an increased conviction rate of 15% of all abuse cases in 2009¹²².
- **The discipline of following up:** Once training has been delivered, scheduled follow up and support is provided to different cohort of trainees. Since the training, virtually all police trainees have established a new structure called 'Women, Child Development and Protection Units' (WCDPU) improving referral mechanisms and handling of child abuse cases. These new structures have unexpectedly served as promotional incentives for the predominantly female WCDP Officers. WCDPU now serves as a one-stop service structure within police stations, offering child friendly medical examinations as part of the new package of services to children and families. Since the training, CPN has managed to broker an agreement whereby two police are permanently assigned to the newly established Child Protection Unit within the Philippines General Hospital
- **Continuum of training and replication:** the package of training support provided by CPN members, the Philippines National Police and the Philippines Judicial Academy, has inspired CPN to improve its own fundraising capacity and raise funds to support the initiative once UNICEF funds come to an end. CPN is on track to replicate the training to 150 (sub-national) Single Sala Courts over a five year period.

¹²¹Mariella Sugue-Castillo 'Child Abuse and Neglect' Vol 33, Issue 3 March 2009

¹²²compared with 8% in the UK

e) Graduate Certificate Course on child rights and protection at Philippines Open University¹²³

UNICEF supported the University of the Philippines Open University for the development of an on line distant learning Graduate Certificate Course on child rights and protection. The support is meant to result in a systemic enhancement of training on child rights and protection issues. The training course aims to enhance the capacities of advocates of child rights who lead and manage change for child rights and protection. No formal assessment was made but the course set up was informed by an informal assessment of the needs from the view of practitioners, agencies concerned and the university.

More in particular participants at the end of the course are expected to be able to:

- Discuss principles, policies, and critical issues and challenges in promoting child rights
- Plan, implement, manage and evaluated programmes for the protection and promotion of child rights
- Communicate, organise and mobilise support for, and advocate change towards the protection and promotion of child rights
- Engage in the various aspects of promoting and working for child rights and protection programmes/initiatives

The graduate course consists of four modules:

- Understanding the Convention on the Rights of the Child
- Planning, leading and managing policies and programmes to advance child rights
- Communication and mobilizing for child rights protection and promotion
- Application of concepts learned to lead, manage and promote child rights and protection

The course is implemented through the system of open and distance e-learning of the University. Discussions and interactions amongst participants will be through the virtual learning environment created through the University portal. The course is aimed at local Government and other officials, NGO staff, project and programme staff of UNICEF partners and others interested in child rights and protection. Primary audience for the course is the Philippines but the on line character of the course allows for addressing a broader range of participants in the future.

Evaluation is meant to take place on the contents of the course as well as on the learning achievements of participants. Focus group discussions are planned for each of the modules to inform fine tuning of the courses and their implementation. So far, no follow up on behavioural changes of participants of the course is planned.

Challenges in implementation so far:

- Scheduling people to participate in the development of the course including writers of the programmes and others
- University policies and procedures that apply and need to be followed as they are part of the University of Philippines including entry requirements of high school completion certificate to enter the bachelor degree course and a bachelor degree to enter the Master's course

¹²³ UNICEF / UPOU, *Graduate Certificate on Child Rights and Protection. A UNICEF-UPOU Capability Development Program*. Manila, 2010.

f) Development of a Regional Capacity Development Strategy for Education in Emergency (EIE)¹²⁴

UNICEF supports strengthening of the capacities of all stakeholders in education in emergencies in Asia-Pacific region, in order to guarantee the provision of quality education opportunities that meet the needs of children affected by emergencies, including their physical, protection, psychosocial, developmental and cognitive needs. With the realisation of significant gaps in the ability and capacity of the education sector to respond predictably, appropriately and effectively to emergencies¹²⁵ and the sheer size of the organisational mandate and coverage for the key regional players in EIE it became clear that strategizing on capacity development was needed. This is particularly of relevance in the Asia-Pacific region which is home to almost half the world's population and which has in recent times accounted for 60 % of the world's natural disasters and in which region countries have experienced some major conflicts (Afghanistan, Pakistan and Sri Lanka). The development of a regional strategy is done within the framework of the Global Education Cluster established by the Inter-Agency Standing committee (2006) which is co-led by UNICEF and Save the Children and which includes a focus on capacity development. Capacity development is regarded as an on-going process that needs to be embedded within organisations concerned in order to be maintained and embraces a holistic and strategic approach at individual, organisational and institutional levels.

The strategy looks at various aspects of a capacity development process including:

- Capacity mapping, including gap analysis
- Capacity development
- Disaster Risk Reduction and Climate Change Adaptation
- Emergency preparedness
- Emergency Response

The strategy includes long term goal and describes what organisational and institutional aspects will need to be in place as a result of implementing the strategy (see box for details).

Goal and Outcomes of Capacity Development Strategy in EIE

Long term goal: to ensure that institutions and key stakeholders at national and sub national levels in all 22 countries across the Asia-Pacific region will have the capacity to *ensure the continuation of quality education during emergencies and post-crisis transition.*

Outcome level changes: Disaster Risk Reduction (DRR) and emergency education preparedness and response would become an institutionalised function of government within the education sector, coordinated with national and sub-national disaster preparedness and response agencies and authorities. This means that the following would be in place:

- **Funding:** Funding for DRR and emergency preparedness and response mainstreamed into education sector planning and budget
- **Structure:** A coordination mechanism for education in emergencies in the education sector is mainstreamed within MoE and is linked with (sub-)national disaster management government agencies.
- **Planning:** Education preparedness and contingency plans from national and sub-national levels are in place and updated annually, and are part of regular MoE planning cycle.
- **Implementation:** Components of the plan should be implemented through concrete actions.

The strategy further includes indicators at the individual, organisational, sector and government level. The strategy includes a results framework with indicators at the various levels concerned. The implementation of the capacity development strategy is meant to be driven by the countries concerned, taking into account their specific needs and contexts. Regional offices of UNICEF and

¹²⁴ UNICEF Asia Pacific Shared Services Centre, *Asia-Pacific Capacity Development Strategy for the Education Cluster/Sector for Emergency Preparedness and Response*. Bangkok, December 2010.

¹²⁵ Rachel Houghton, *Capacity Mapping for Emergency Education Preparedness and Response: Global Education Cluster. Concept Note and Fuller Methodology*. January 2008.

other key stakeholders are meant to play a supportive role as well as feeding back learning to their global organisations. The strategy identifies pre-conditions for its implementation and stresses careful sequencing and selection of methodologies for its implementation. For capacity development at the individual level a range of opportunities is provided including training of trainers, mentoring, coaching and shadowing, peer learning support, exchange programmes, e-learning and secondment for TA. The strategy includes a clear M&E framework to assess, guide and enhance its implementation.

Education in Emergencies Capacity Development Strategy as a good practice example

- The strategy includes the three levels of capacity development as included in UNICEF's definition of the concept
- It includes explicitly assumptions made regarding the capacity development approach
- Makes use of learning from previous studies and mapping exercises
- The strategy contains a results framework for implementation
- Replicating the strategy development process at country level
- Informing it by capacity assessment and
- Grounding it on needs rather than on predetermined supply aspects, with a set of relevant issues provided
- Addressing issues of ownership and responsibility for the process of capacity development
- Making use of a useful set of capacity level indicators and linking with existing Hyogo monitoring framework
- What could have further enhanced the strategy is inclusion of the process of its development and levels of participation of the various stakeholders concerned across the region, which could have highlighted aspects of ownership of the strategy

Annex 9

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