

16 Tools

for Programming for Policy Results

Towards the Meaningful Use of Results-Based Management
and Theory of Change for Social Inclusion and Policy

A Reference Guide



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FOREWORD



UNICEF's East Asia and Pacific Regional Office (EAPRO) has been looking to sharpen UNICEF's upstream Social Inclusion and Policy Programming in the region through capacity building in Results-Based Management (RBM) and Theory of Change (ToC).

Leveraging political will and domestic resources towards results and equity for children demands smart strategies from child-rights stakeholders. These strategies should be based on pertinent context-specific targets, clear and well-established theories of change, and sound RBM which ensures that UNICEF is there with the right knowledge and advocacy interventions where and how it needs to be. UNICEF's evolving partnership with Ministries of Finance, National Planning Offices, and social sector ministries in the region centred on results-based planning and budgeting for the Sustainable Development Goals requires in-depth familiarity with enhanced RBM and ToC approaches.

To get there, five country offices (Cambodia, Indonesia, Mongolia, Thailand and Viet Nam) were strengthened between February and June 2015 so that they could strategically *projectize* their upstream policy engagement and tell *the story* of why and how the outputs and activities they deliver with partners contribute to tangible results for children, women and their families. This is important for development effectiveness, fundraising, and accountability as well as for credible ownership of high-level results.

The following reference materials are based on a larger set of tools developed for UNICEF staff by Françoise Coupal and Natalie Zend of *Mosaic.net International Inc.* in order to support the work of staff in RBM and ToC when programming for policy results. Special emphasis was placed on Child Rights and Human Rights Based Approaches to Programming, along with complementing problem-based analyses with asset-based approaches. The summary version presented here reflects feedback by, and further comments from, UNICEF staff who participated in the above five training events as well as a regional workshop, with additional inputs from Gaspar Fajth and Nicoletta Feruglio with support from Daphne François and Saranya Tanvanaratskul of UNICEF EAPRO's Social Policy and Economic Analysis section. The document is meant to contribute to the evolving practice of managing for results as well as to offer a coherent set of tools especially when working with UNICEF's partners in upstream policy environments.

Isiye Ndombi
Deputy Regional Director, UNICEF
EAPRO/UNICEF EAPRO

Gaspar Fajth
Regional Advisor, Social Policy
and Economic Analysis, EAPRO

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Important Note: The concrete examples used in the tools are for the purpose of illustration only and may or may not reflect UNICEF's actual planning, programming and commitment.



List of acronyms

CRC	United Nations Convention on the Rights of the Child
EAPRO	East Asia and Pacific Regional Office (UNICEF)
ISO	International Office for Standardization
MoF	Ministry of Finance
MoH	Ministry of Health
MoNPED	Ministry of Natural Planning and Economic Development
MoRES	Monitoring Result for Equity Systems (UNICEF)
ODA	Official development assistance
PFM	Public financial management
PHC	Primary health care
RBM	Results-Based Management
SDGs	Sustainable Development Goals
SEDP	Social Economic Development Plan
SP	Social protection
ToC	Theory of Change
UN	United Nations
UNICEF	United Nations Children’s Fund (formerly United Nations International Children’s Emergency Fund)
UNICEF CO	UNICEF Country Office

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Introduction

This guide offers 16 tools across 10 key steps recommended for development practitioners for *projectizing* – in other words sharpening the result focus of – their work for policy results. It is primarily geared towards those working to achieve policy results through planning, implementation, monitoring and evaluation of UNICEF programmes, especially, but not exclusively, in East Asia and the Pacific. By 'policy results' we are referring to ex-ante or ex-post *changes* in national or sub-national policy, legal, regulatory, budgetary, monitoring, reporting or other systems that influence and impact on people's lives in significant, sustainable ways.

Why should Theory of Change (ToC) and Results-Based Management (RBM) approaches inform the way UNICEF plans and implements policy work in its country programmes in collaboration with national and international partners in the East Asia and the Pacific region?

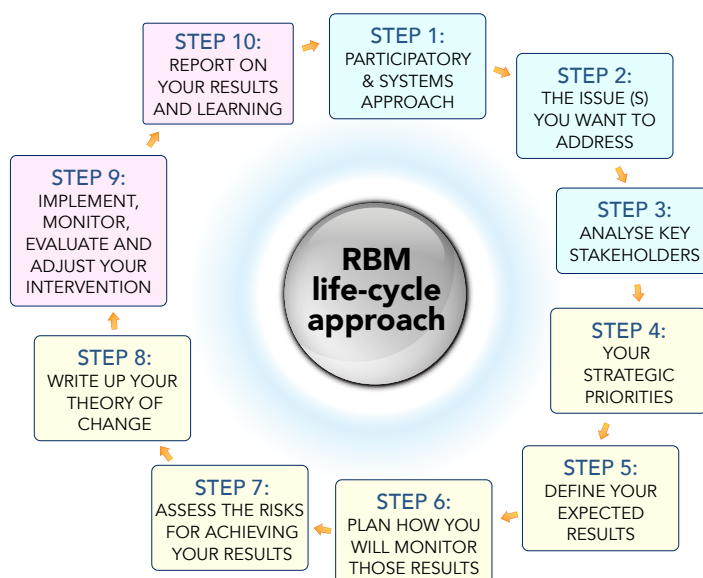
RBM is a life-cycle approach to management (see Figure 1) that focuses on:

- achieving outcomes
- performance measurement or continual monitoring and evaluation
- learning and adapting, and
- reporting on results.

When we simply focus on activities (what we do), or inputs (what we spend), we are blind. We don't know our destination, so we can't see when we've gone off-course. We can only take corrective action, we can only *manage*, when we know where we are going and why. This requires looking beyond activities and focusing on results through building out and using information feedback loops towards achieving strategic goals.

The establishment of international development goals, such as the Goals for Children 1990-2000, the Millennium Development Goals (MDGs), and recently the 2015-2030 Sustainable Development Goals (SDGs), has put planning, monitoring and reporting of results at the centre of global policy.

Figure 1. RBM: A life-cycle approach in 10 steps



The principles of RBM have been increasingly applied also across the United Nations agencies since 1997 when the Secretary General initiated a set of reforms to shift from line item budgeting to results-based (or 'outcome based') budgeting and enhance system-wide coherence on policy and operational matters for strengthened accountability and impact.

However, a 2012 assessment of the United Nations System found that "much of the emphasis in the implementation of results-based management has been on developing the strategic plans, country programme documents and the results matrices. The 'managing' for results aspect of results-based management in the form of using information for programme improvement has been less prominent."¹

Improved development impact and efficiency of public resource use is clearly a shared concern among all partners in development collaboration. While the SDGs create new opportunities for development collaboration for UNICEF and the United Nations, results will be needed across a broader set of goals and targets – often in the context of fiscal and economic pressures. It is reasonable to expect in this context that tight planning and budget implementation will receive growing attention by key partners, such as the Prime Ministers' Office, the Ministries of Finance, and members of the Public Expenditure Management Network in Asia (PEMNA) or the planning divisions of sector ministries. Improving public policy management is an objective that UNICEF and other public agencies share, and RBM and ToC are essential tools towards that.

Adopting a new management style, moving from a formal adoption of RBM tools and methods towards their meaningful use and application in management practice requires

- in-depth understanding of why this is necessary, what it entails, as well as the ability to create and sustain
- meaningful participation
- simplified reporting, and
- iteration and flexibility.

RBM grew out of the recognition that effective policies, programmes and projects build on cause-and-effect relationships. However, managers' understanding of the causality is always partial and with time things tend to change. Perfect planning, based solely on information available at the initiation of the project is rarely possible. But, when all frontline actors are aware of the key objectives, the overall direction of and potential risks to implementation, the whole organization is better enabled to respond with corrective action.

This is why senior managers *must* involve their staff in establishing *how* the organization will achieve results, and what feedback loops will need to be developed and/or monitored. Participation is necessary also because very few agencies can control all the factors which need to be controlled for **achieving change** in economic and social conditions; in most cases comprehensive and sustained action can only be delivered via

- **multi-stakeholder partnership.**

While RBM is centred on effective feedback loops between desired outcomes and the way activities and resources are determined and allocated, a ToC focuses on the causality – that particular pathway to change which underpins the strategic choices made in the plan. It links results and activities to explain *how* and *why* the desired change is expected to come about; what theories and assumptions underpin the anticipated change process.

In the context of upstream programming two additional considerations stand out as important but often lacking due emphasis. The first is that project plans are implementable only when they are costed and the resulting funding needs are available or achievable. If resources (inputs) prove to be inadequate, then outcome targets and/or partners must be revisited and re-prioritized. While policy work in general is very cost-effective, spreading resources too thin, making too many commitments without proper resourcing leads to ineffective programming – even when other parts of the ToC and RBM are correct.

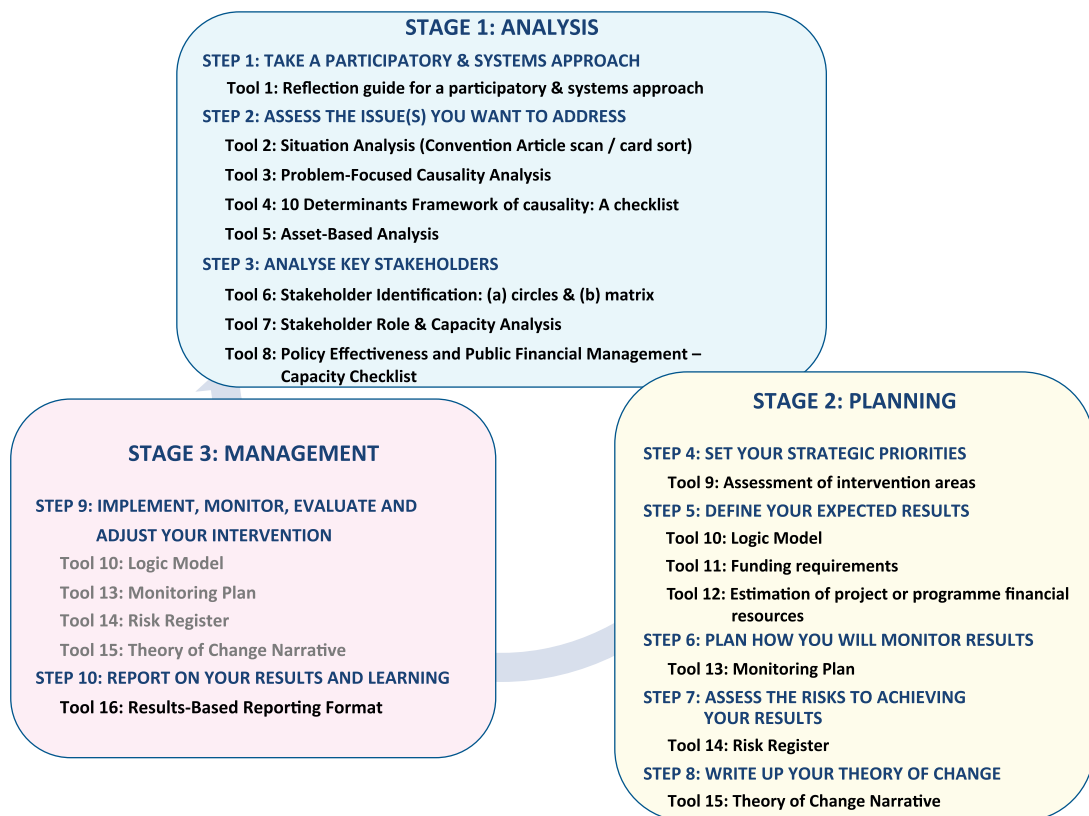


Second, UNICEF’s role as honest broker and child rights advocate need to be framed in a thorough understanding of national policy process and the political economy. Effective policy alignment assumes in-depth familiarity with national policies, political and policymaking processes and tools, including the mid-term and annual planning-resourcing cycle. It also requires UNICEF using national public financial management tools and templates as much as possible. Finally, during the stakeholder analysis due attention should be paid to those with major leverage over domestic financial resources, which in East Asia and the Pacific tend to be the ministries of finance and planning.

Three stages, ten steps and sixteen tools

This guide focuses on the achievement of upstream policy results. It distils the meaningful use and application of RBM and ToC into three stages and 10 essential steps, and also provides 16 essential tools. Figure 2 shows how the steps correspond to the three essential phases of the RBM life cycle: analysis, planning and management. It also shows, step-by-step, the tools we are providing for the reader to use. Annexes 5 to 8 contain blank templates of each tool for the reader’s use.

Figure 2. The three stages, ten steps and sixteen tools of RBM for policy results



We encourage you to read through the whole guide and apply *all* of the steps at the *planning stage*, including writing a mock report of your project from its very outset. Applying RBM and ToC in a meaningful way is an *iterative process*. You will find that at each step, critical insights will be gained on the previous steps. All of the tools build on each other and are best applied together rather than in piecemeal fashion.



Overview of the three stages, ten steps and sixteen tools of RBM

Stage 1: Analysis

Step 1: Take a participatory & systems approach – Offer new insights about the culture of an organization, its operational practices and reward systems. Encourage looking beyond tools or problems and see RBM in more holistic ways that value participation, inclusion, evidence-based practices, learning and flexibility.

Tool 1: Reflection guide – List of questions to ensure having participatory and systems approaches to ToC and RBM.

Step 2: Assess the issue(s) you want to address – Analyse the situation of children and the larger issues that affect them, in order to identify what conditions you would like to help transform and for which group(s) of children. Gain insights into how to achieve impacts by investigating causal relationships between things which need to change.

Tool 2: Situation analysis – Checklist based on the Convention on the Rights of the Child, identifying the most relevant articles and recommendations for a problem statement that identifies the key issues.

Tool 3: Problem-focused causality analysis – Explore why problems exist and analyse the immediate, underlying and root causes, preferably using a conceptual framework.

Tool 4: 10-determinant framework of causality: A checklist – Checklist to help identify key bottleneck(s) to be addressed which should produce windfall results.

Tool 5: Asset-based analysis – Turn a problem on its head and look at what works well, exploring the why (the reasons for success) and ways to replicate the scenario.

Step 3: Analyse key stakeholders – Identify who can address key issues and analyse their roles, performance and capacities.

Tool 6: Stakeholder identification – Identify which actors have a role to play in addressing the conditions you want to change, established using a) concentric circles, or b) matrix of sectors and levels.

Tool 7: Stakeholder role and capacity analysis – Identify the roles that key stakeholders could have in addressing the issue(s) and the capacities they need to strengthen so they can play those roles in creating the desired change.

Tool 8: Policy effectiveness and public financial management, capacity checklist – Help ensuring that public budgets and stakeholders with major financial resources receive adequate attention.

Stage 2: Planning

Step 4: Establish your strategic priorities – Provide a solid foundation for defining your expected results, or the changes you want to achieve through your programme or project.

Tool 9: Assess intervention areas using selection criteria – Reflecting on analyses above, identify a limited number of key strategic areas for intervention that are likely to be game changing.



Step 5: Define your expected results and resource needs – Define what changes you want to achieve through your programme or project with an eye on your resource constraints.

Tool 10: Logic model – A one-to-two page depiction of the key results of a project or programme, building on the cause and effect relationships, performance and capacity needs identified through the situation and stakeholder analyses.

Tool 11: Funding requirements – Calculate how much it costs to implement the outputs and activities needed to achieve a meaningful contribution to outcomes.

Tool 12: Estimation of project or programme financial resources – Predict revenues during the time frame of the project or programme in question for reality check and risk management.

Step 6: Plan how you will monitor results – Think about how you will track your achievement of those results. Developing indicators for each result and planning how you will measure them will help you test whether your results are measurable.

Tool 13: Monitoring plan – A performance dashboard of your programme or project, which simplifies reality and provides information about a programme's performance that is relevant to decision-making and helps necessary adjustment.

Step 7: Assess the risks to achieving your results – Collectively assess the likelihood and impact that the risk would have on the programme results if it did occur; hatch mitigation plans.

Tool 14: Risk register – To record the risks you've identified and assessed and the mitigation strategies you have developed.

Step 8: Write up your theory of change – Develop a strategy for change, explaining all the major elements that need to be in place in order for development change to occur.

Tool 15: Theory of Change narrative (in six steps) – Articulate what has to happen in order for expected results to be achieved. Note that a ToC should be built from an underlying logic model or policy result framework.

Stage 3: Management

Step 9: Implement, monitor, evaluate and adjust your intervention – As you implement your project or programme, keep focusing on the change you want to achieve. Track progress and adjust resources, activities and strategies as needed to better effect the desired change. Tools you will regularly need include:

- Logic model (Tool 10)
- Monitoring plan (Tool 13, including also finance-related indicators)
- Risk register (Tool 14)
- ToC narrative (Tool 15)

Step 10: Report on your results and learning – Report on what has changed versus what was done by using the monitoring plan, in particular the indicators, baselines and targets.

Tool 16: Results-based reporting format – Template for results-based reporting.



Step 1. Take a participatory and systems approach

Although we are calling this Step 1, taking a participatory and systems approach is the very essence of good RBM and ToC and must be woven through the entire policy project cycle.

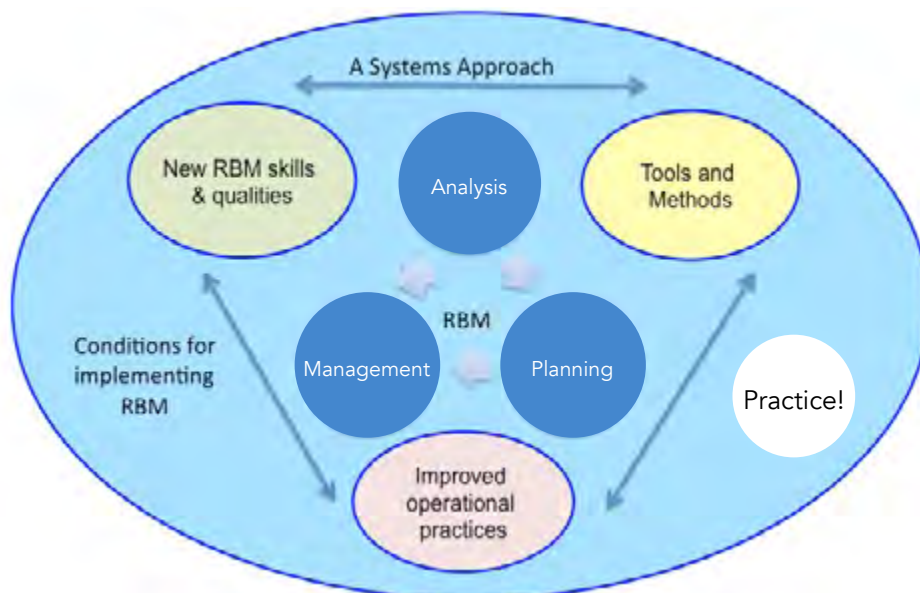
RBM has too often been seen mostly as a way for headquarters to monitor results via a set of corporate indicators. It has also too often been viewed as a set of tools to be filled out in order to meet funders' requirements or fulfil corporate accountabilities.

However it is much more than that. It is a different way of working. Meaningful use of RBM and ToC involves a participatory approach with all key stakeholders: the entire programme, project or initiative has to be 'owned' at unit/section/office and partnership levels.

RBM and ToC also require a systems approach. This implies that the organization is seen as a complete entity with interconnected parts and different stakeholders. So, when considering RBM, one must go beyond the logic model or a set of indicators and make sure that the system is results based including the management culture and operational practices of the organization. This RBM system includes:

1. Tools and methods
2. Improved operational practices, and
3. New RBM skills and qualities.

Figure 3. RBM is a different way of working



1. RBM tools include human rights-based tools for analysis, and planning and management tools such as the logic model, the monitoring plan, the risk register and the results-based reporting format (as seen in Figure 2). **Methods** include participatory approaches that seek to build consensus around your vision, priorities, results and indicators so that these are mutually agreed upon and negotiated. Using cards, large pieces of paper or post-its on the wall can be a very effective method for brainstorming key elements of your analysis (e.g., problem-focused causality analysis and asset-based analysis), as well as planning tools like the logic model.

2. Improved operational practices may involve reviewing key elements of your organization like contracts, project design, and reporting templates to ensure that they are results-based and not activity focused. Employee performance assessments may also need to be realigned to ensure that they are results based and that rewards and incentives are based on results and not activities.



3. Finally, new RBM skills and qualities include moving away from a top-down management style to a more horizontal team-based approach that values listening, consensus and participatory approaches. Ensuring that all key stakeholders are part of analysis and results definition is critical in ensuring buy-in and sustainability. Taking a participatory approach means that stakeholders should be involved in all phases of programme analysis and results definition, design and implementation, and monitoring and evaluation. Think about ‘putting the system in the room’: bring in an array of stakeholders or participants including children who can and will work on achieving your desired impact.

This may require participatory workshops of three to five days each at various stages throughout the programme cycle whereby stakeholders gain clarity on the programme or project context, conceptual framework and vision, and thrash out expected results and indicators for your logic model and monitoring plan.

Keep in mind that with suitable facilitation, multiple facilitators and a large venue, you can bring together large numbers of stakeholders (e.g., 20-200) of multiple types (girls and boys, parents and community leaders, national and sub-national government, non-government organizations and international organizations). Be sure to budget and plan for the staff time, lead time and contractual processes accordingly.

Once the programme or project is approved, stakeholders might need to come together again to validate and update the Logic Model, monitoring plan and ToC. These essential tools will be used again when monitoring the programme and reporting on actual results. Mastering these tools is a good investment in programming, monitoring and reporting.

A systems approach can produce new insights about the culture of an organization, its operational practices and reward systems. This approach encourages you to look beyond tools or problems and to look at RBM in more holistic ways – ways that value participation, inclusion, evidence-based practices and learning and flexibility – all of which are key principles of RBM.

Tool 1. Reflection guide

<ul style="list-style-type: none"> ✓ Are we emphasizing reflective and generative dialogue over expert presentations and debate? ✓ Are we surfacing assumptions and exploring rationales: “Why is this issue important? Why do we think this potential intervention will work?” ✓ Are we using facilitation methods that allow for individual input and collective analysis? (e.g., brainstorming on cards and dot scoring or ‘dotmocracy’). ✓ Are we trusting the people and the process? 	<ul style="list-style-type: none"> ✓ Are we putting the system into the room, bringing together multiple actors who can and will work on achieving the desired changes? ✓ Are we including diverse perspectives, especially the disenfranchised children and communities who understand the issues from the inside? ✓ Are we creating a space for people to listen deeply with open minds, hearts and wills to each other and to the future that wants to emerge?
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Step 2. Assess the policy issue(s) you want to address

Good RBM and sound ToCs begin with **evidence-based, participatory assessment and situation analysis**. You then use this as a foundation for your planning, paying close attention to logical cause-and-effect links both in your analysis and your planning.

A solid situation analysis allows you to:

- gain a 'big picture' understanding of the context in which you wish to intervene,
- identify what you want to change about the current situation – the interrelated issues you want to address through your policy and programming work,
- identify the positive deviants who are already modelling the change you want to see and assess the reasons for their success that you could help to replicate, and ultimately,
- strategically select the most promising ways your organization can support positive change in children's lives.

2.1 Situation analysis from a human rights-based perspective

In the initial stage of analysis, you take a sweeping look at the context to help you identify the high-level change you would like to see. Because UNICEF's mandate revolves around children's rights, the desired impact and *raison d'être* of any UNICEF program is improved conditions for girls and boys.

Your starting point therefore is to assess the situation of children and the larger issues that affect them, in order to **identify what conditions you would like to help transform, and for which group(s) of children**.

Your situation analysis can collect data and information on social, political, economic, cultural, gender and environmental conditions that impact children.

All of these perspectives include a human rights-based pool of data and information (e.g., conventions, treaties, protocols) to contribute to your analysis. The Child Rights field in particular brings a lot to the table to enrich your application of RBM and facilitate your strategic choices.

Child rights standards and principles

For UNICEF, the United Nations Convention on the Rights of the Child (CRC) is much more than a legal standard. Together with other stakeholders, you can actually use the Convention² as one tool for quickly doing a comprehensive and holistic assessment of the situation of children in a country:



Tool 2. Situation analysis: CRC article scan/card sort

Print and laminate a deck of cards, with a summary of one Convention article on each card (see Annex 3).

With key stakeholders (6-8 stakeholders in a group) take 15-30 minutes to sort through the deck and identify which of the articles most need to be addressed in your country and for which particular groups of children. If a key issue has already been chosen (such as social exclusion or poverty), then identify the articles most relevant to that issue. Refer to the full text of the Convention as needed.

Record your findings on the template summary sheet provided in Annex 4, Tool 2.

Variation:

Scan the most recent **Concluding Observations** of the United Nations Committee on the Rights of the Child on your country and identify the most relevant articles and recommendations. Take advantage of the expert situation analysis the Committee has already carried out!

End Product:

Write a **problem statement** that identifies the condition(s) for children you want to help change (i.e., the child rights you want to help realize).

Child rights monitoring and reporting bodies, research and critical thinking

The scan or card sort outlined above is just one part of a sound situation analysis, but a very helpful part. It can be not only a fast way to do a cross-sectoral analysis of the issues affecting children; it can also help you make strategic choices about what you need more information on, and can help you find that information more easily.

Once you have identified the most relevant articles, you can quickly locate related research, analysis, and policy and programming guidance in key child rights resource documents, which are organized by Convention article. These are referenced in Annex 1 and include:

- Implementation Handbook for the CRC
- General Comments
- Concluding Observations
- State Party Reports, and
- Alternative (or 'shadow') reports

A lot of data is readily available on the situation of children in specific countries, and on specific issues that children face and appropriate programming and policy responses. Use the article-by-article structure of the Convention to streamline your literature review, research and data collection.

Because the Convention on the Rights of the Child covers economic, social, cultural, political and civil rights, using it as an analytical tool can support you to take a more holistic approach. It can help you see inter-sectoral linkages and the importance of incorporating multi-stakeholder collaboration. It can also help you define more clearly the particular groups of children who need special attention.

2.2 Problem-focused causality analysis

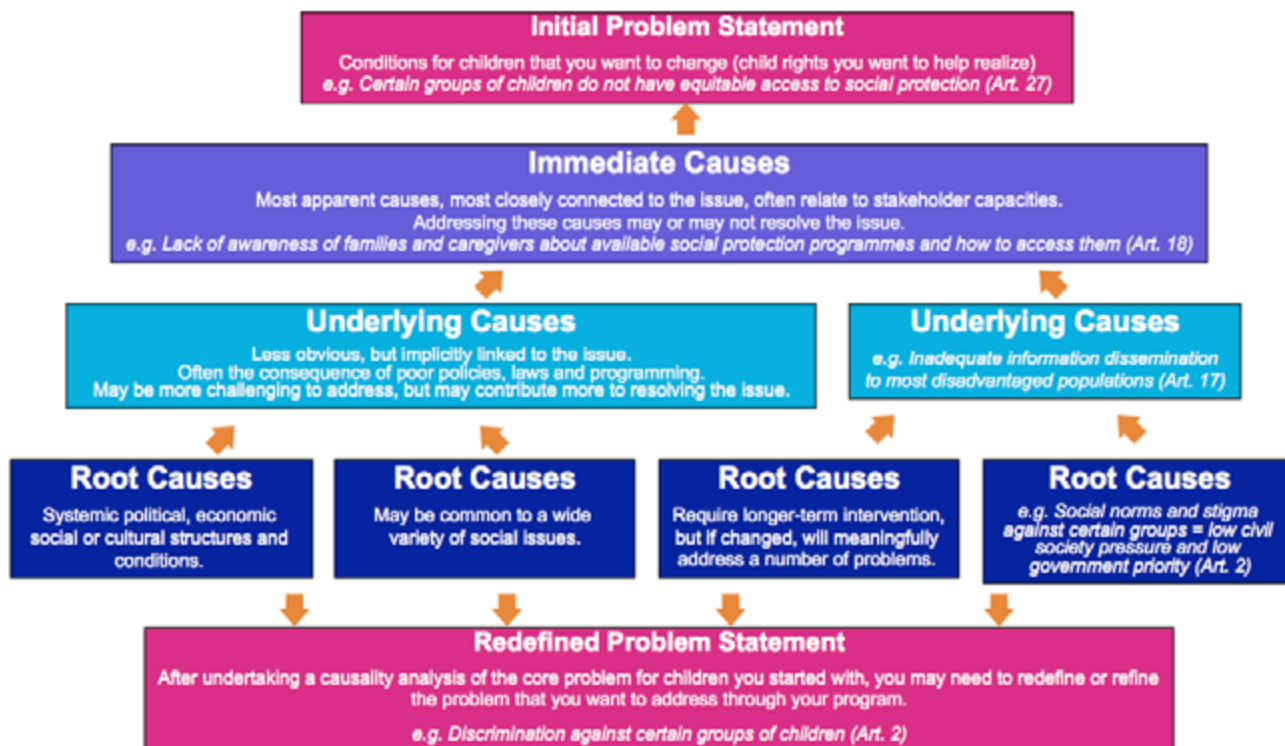
Too often, situation analyses consist of a catalogue of problems children face, with no meaningful analysis of the causes and drivers of those issues. A core element of the 'SitAn' should be an evidence-based *conceptual framework* for understanding the problem(s) you want to address, and for prioritizing the interrelated issues, so that you can design effective responses.

Once you have done a broad assessment of your country or regional context (see 2.1 above), you will have a working problem statement that identifies the key issue(s) for children (child rights) that you would like to address. Flipped around, this will become your impact statement. The next step is to look more deeply at *why* that problem exists (e.g., what other related child rights are involved). Analyse the immediate, underlying and root causes of the problem you want to help resolve. See Tool 3 below for an explanation of the levels of causes, and Figure 4 for examples.



Then **re-examine your problem statement**. Your analysis may lead you to redefine the issue(s) that you hope to address through your programming in terms of a deeper cause of the problem than the one you began with.

Tool 3. Problem-focused causality analysis



Important pointers:

- **Review the existing literature** on the issue, and base your causality analysis on evidence-based conceptual frameworks. If they do not exist, consider making this part of your research agenda.
- Put the system in the room and **engage stakeholders** in your problem definition and causality analysis. In a facilitated workshop setting and using one card per idea, ask stakeholders for example to identify: a) key groups of children affected by the problem, b) key issues that affect them, and c) key causes (drivers or bottlenecks) related to those issues. Then ask them to: 1) organize those causes by level, 2) show the logical links between causes using masking tape, and 3) prioritize the causes that, if addressed, could be *game changers*.

In carrying out your causality analysis, refer to Tool 4 below as a checklist to help you identify key bottlenecks. It will help you systematically to consider the main determinant areas of child results to ensure that you are not missing key factors on the demand and supply side as well as in terms of the enabling social and policy environment. For policy programming, use it to dig deeper into the causality links and to identify underlying and root causes.



Tool 4. 10-determinant framework of causality: A checklist

Issue (manifestation of child rights deprivation, either shortfall or disparity):

10 Determinants Framework	Related problems (bottlenecks and barriers) or Assets Describe identified b&bs to address and/or assets (positive deviance to build on). Write 'none', where you think there are none.	Causes Describe the causes of issues identified
1. Social Norms Widely followed rules of behaviour		
2. Legislation/policy Adequacy of laws and policies		
3. Budget/expenditure Allocation and disbursement of required resources		
4. Management and Coordination Roles and accountability/coordination/partnership		
5. Availability of essential commodities/inputs/information to deliver a service or adopt a practice		
6. Access (physical/geographical) to adequately staffed services, facilities and information		
7. Financial access Direct or indirect cost for services		
8. Social and cultural practices and beliefs Individual or community beliefs, awareness, behaviours, practices and attitudes and initial use of services/good practices		
9. Continuity of use Completion/continuity in service/practice		
10. Quality Either quality of service (adhering to international or national standards) Or Quality of practice (adhering to recommended practices – example exclusively breastfeed for 6 months)		

2.3 Asset-based analysis

The asset-based approach, often referred to as positive deviance or appreciative inquiry, can complement and even in some cases replace the problem-focused causality analysis (see 2.2 above).

For too long, development planning has almost exclusively examined problems and how to fix them at the expense of fully taking into account the existing capacities, abilities, and resources that might already exist in a community.

The asset-based approach seeks to rectify this by tapping into the strengths of the community and building on them, which in turn might directly resolve key problems or issues that the community is facing. An asset-based approach will turn a problem on its head and look at what works well, exploring the reasons for success and seeking to replicate them.

The asset-based analysis described in Tool 5 can be carried out in a participatory fashion with stakeholders. It can also involve commissioned research using survey data to find outliers and their characteristics. Or it could entail a qualitative survey where focus groups and in-depth interviews would seek which households or people in the community have better child outcomes and why.

Whereas in a problem-oriented framework, one might focus on the problem like malnutrition, in an asset-based approach one would look for the positive deviants and who are the nutritionally fittest.

In Viet Nam, where a national programme of positive deviance was launched, the Ministry of Health explored the reasons why some children were more fit than others and found that nutrition and the care of the child made a difference. Some mothers supplemented breast milk with locally based food such as crab, shrimp and vitamin-rich potato leaves, and breast fed more frequently.



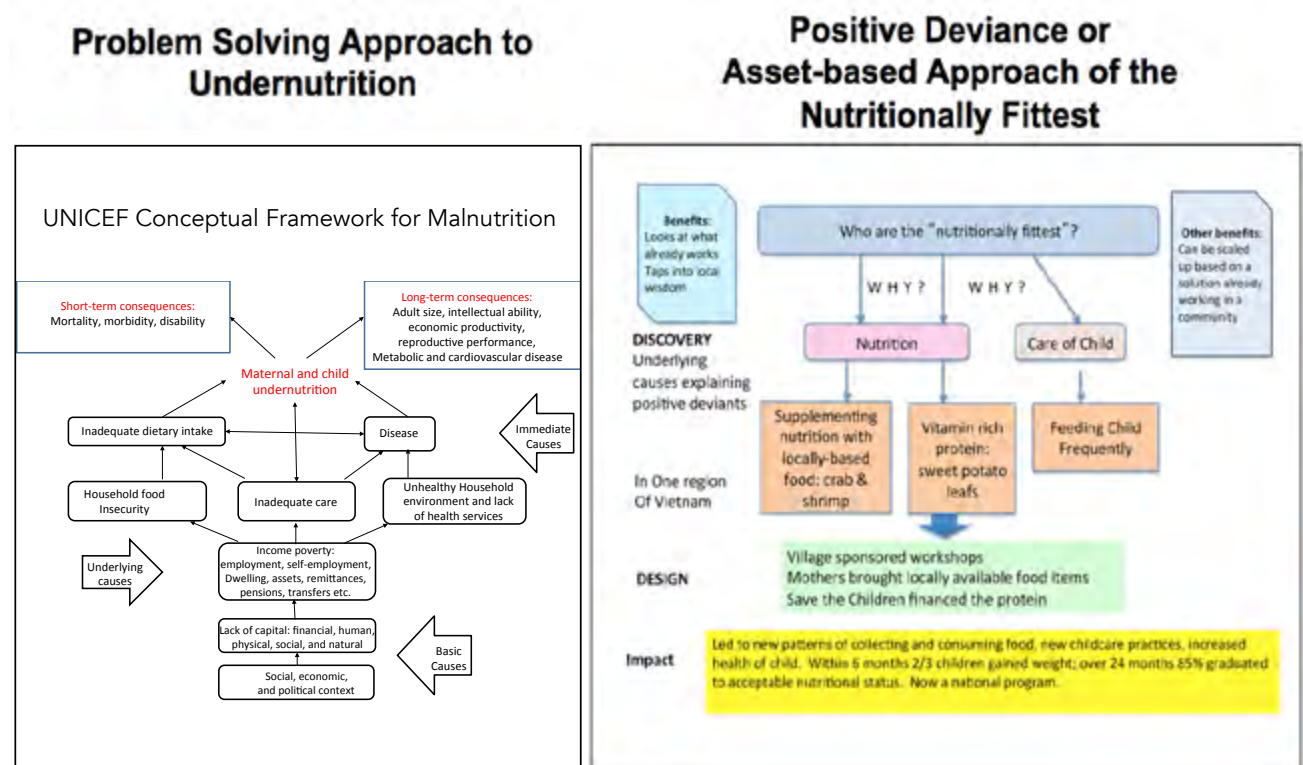
This led to designing a programme with action research around the positive deviants, finding out the secrets of success and replicating them. Village-sponsored workshops were encouraged where mothers brought locally available food items and showed other mothers how to replicate the recipes. Within 6 months, two-thirds of children gained weight, and over 24 months, 85 per cent graduated to acceptable nutritional status. (See Figure 4 for a visual depiction of the analysis.)

Tool 5. Asset-based analysis

There are typically four key phases to an asset-based or appreciative inquiry approach:

- 1. Discovery phase:** Appreciating the best of 'What is' by looking for the positive deviants: which children are doing better with regards to the issue at hand, and why? Which actors (within the community or in other places) are doing better in addressing the rights issue and why? What was the unique situation that made the improved conditions or performance possible, such as leadership, technologies, values, capacity building or external relationships? Information and stories are gathered about what is working well.
- 2. Dream:** Envisioning What Might Be. How do we want things to be for the future? How can we replicate, in the places we want to support, the success of the positive deviants?
- 3. Design:** Determining What Should Be. How can we move from where we are now to this vision of the future that we have created? How can we put the ideas into practice? Who will be involved? "What should be?" Participants create a strategy to carry out their propositions answering Who, What, Where, When, Why, What Resources.
- 4. Deliver (or Destiny) – Innovating What Will Be.** In this phase, practical strategies or projects are put into practice and space created for ideas to flow and develop. There is an emphasis on empowering and encouraging people to take action and carry forward their own ideas.

Figure 4. Examples of problem-based and asset-based causality analysis, both related to nutrition



Source: *The Lancet* series on Maternal and Child Undernutrition 2008, adapted from Conceptual framework for analysing the causes of malnutrition, UNICEF, 1997); Pascale, Richard T. 'Surfing the Edge of Chaos: The Laws of Nature and the New Laws of Business', 2000, pp. 175-177.

Step 3. Analyse key stakeholders

Your situation analysis has, by now, enabled you to identify the underlying or basic cause of the child rights deprivation you want to address. In other words, your revised problem statement moves your focus from downstream, problem manifestation issues to upstream, policy-relevant matters. In the example used to illustrate tools your focus has moved from lack of access to services as manifestation of the problem to discrimination and stigma as a basic cause. How concretely you can plan and programme towards achieving policy change that will address such underlying or basic causes is what the rest of this guidance note and its toolkit is all about.

After you have gained some clarity about the conditions you want to help change for children (together with the interrelated issues that need to be addressed to achieve a meaningful change, and the assets you can build on to help make that change), your next step is to identify key stakeholders who can address those issues, and then to analyse their roles and capacities.

A solid, participatory stakeholder analysis will help you to:

1. Make strategic choices about where you intervene, and who you work with or seek to influence, as you will not be able to address *all* the causes of your problem, or build on *all* the assets.
2. Identify *your* entry points for programming and policy. Whose capacity will *your* initiative build, and whose behaviour will *you* seek to change in order to make a difference for children?
3. Based on a sound understanding of the other players and how they are or should be addressing the issue, decide how best to:
 - select appropriate partners
 - avoid duplication
 - contribute *your* added value
 - take advantage of synergies
 - undertake policy and advocacy work to influence key actors
 - play a convening role among relevant players to coordinate whole-system change
 - be a thought leader, influencing and supporting stakeholders through ground-breaking research, pioneering pilots and prototyping, knowledge sharing, and dissemination of data and analysis.

3.1 Stakeholder identification

The first step in stakeholder analysis is to identify key stakeholders who have a role to play in addressing the conditions you want to change. Here are two tools that can help you and other stakeholders to brainstorm more effectively and think beyond the 'usual suspects'. Reproduce either tool on a flip chart and invite stakeholders to individually brainstorm key actors, one per small card, and post them in appropriate place on the diagram. Be as specific as possible.



Tool 6 (a). Concentric circles (see template in Annex 4)



The circles around the child move from those with the most direct contact with the child, on the inside, to those whose influence on the child is most indirect, on the outside.

Tool 6 (b). Matrix of sectors and levels (see template in Annex 4)

		Sector		
		Civil Society	State	Private Sector
Level	International	International alliances and networks	International groups and organizations	Multinational companies
	National Macro	National networks and coalitions	National government departments, agencies or institutions	National chambers of commerce, large-scale industries
	National Meso	Individual NGOs, CSOs, universities, etc.	National and regional government, public institutions	Journalists, business associations, media
	National Micro	Community-based organizations, families, children	Municipal and regional governments	Individual entrepreneurs, employers

As you brainstorm, you may want to think in human rights-based terms, about:

- **Rights holders**—which groups of children are particularly affected by the conditions and issues you want to address?
- **Duty bearers**—which national and sub-national state actors have a role to play in addressing the issue?
- **Non-state responsibility holders**—which non-state actors (e.g., parents, caregivers, families, community leaders) have a role to play?
- **Capacity supporters**—which actors could support the rights holders, duty bearers and responsibility holders in their roles, for example through funding or capacity building? Examples include foundations, international organizations, and non-government organizations.



You might also consider stakeholders from an advocacy lens, in terms of:

- the affected
- the concerned
- allies
- targets (those you want to influence)
- opponents or barriers, and
- fence sitters.



Consider doing your stakeholder analysis with key stakeholders. Gather those you have identified as key stakeholders, and use these tools to ask *them* to identify other vital actors you missed in your initial analysis

3.2 Stakeholder role and capacity analysis

The second and third steps in stakeholder analysis are to identify:

- **the roles that key stakeholders could have in addressing the issue(s).** What would you like them to *do* differently in order to improve the lives of children?
- **the capacities they need to strengthen so they can play those roles in creating the desired change.**
- The capacities those stakeholders need to strengthen are your entry points for programming. That's where you come in: building those stakeholders' capacities.

By the end of your intervention, you want those improved capacities to shift the roles those key actors are playing, so that their performance or behaviour is improved and they are addressing your child rights issue(s).

Key points to keep in mind:

- Duty bearers/responsibility holders have roles to play – their duties, obligations or responsibilities towards rights holders.
- Rights holders have a role to play in claiming their rights.
- If rights are not being realized, it is because stakeholders are not playing the roles they could be playing.

Stakeholders depend on other stakeholders to carry out their roles: it's a *pattern of responsibilities*.

Below is a partial illustration of a role and capacity analysis for one duty bearer (left) and for one rights holder (right):

Defining 'Capacity'

Capacity does not just refer to knowledge, skills and attitudes.

For duty bearers and non-state responsibility holders, it also refers to resources (human and financial), authority (mandate, legitimacy, power to act), and motivation (felt obligation and understanding of responsibilities).

For rights holders, capacity is also about resources (human and financial) and understanding (of their rights and how to claim them). The capacity of rights holders to claim their rights also depends in part on whether the risks they run in claiming them (e.g., backlash) have been addressed.



Tool 7. Stakeholder role and capacity analysis (example, see template in Annex 4)

Duty-Bearers or Responsibility Holders (supply side) <i>Ministry of Labour</i>		Rights-Holders and/or their supporters (demand side) <i>Children 0-3, their parents/caregivers, families</i>	
Roles (Obligations/ responsibilities they should fulfill in order to address the issue)	Changes in capacity (motivation, authority, resources) needed for the duty- bearer to fulfill their roles	Roles (What they can do to claim the relevant rights)	Changes in capacity (understanding, resources, risks) needed to play those roles
Develop and implement Social Protection policy, including: <ul style="list-style-type: none"> • Situation analysis • Propose policy options • Advocate with relevant ministries for approval • Capacity building (Ministry of Labour; Social workers) • Coordinate with relevant ministries • Monitoring, reporting 	<ul style="list-style-type: none"> • Motivation to consolidate Social Protection framework Capacity in: <ul style="list-style-type: none"> • M&E, reporting, data collection and analysis, Management Info Systems • Advocacy • Implementation • Policy design 	<ul style="list-style-type: none"> • Claim children's rights to social services • Fulfill their children's rights by accessing social protection schemes • Provide feedback to service providers • Share local practices with stakeholders to influence policy enforcement, revision, and development 	<ul style="list-style-type: none"> • Knowledge of children's rights • Understanding of social protection schemes and how to access them • Reduction in barriers to access • Consultation by relevant policy stakeholders to ensure relevance and appropriateness of social protection policy and services

Where to get information for your stakeholder analysis?

- Your situation analysis (see section 2 above)
- Child rights resource documents (see section 2.1 above and Annex 1)
- Relevant laws and policies
- Job descriptions
- Codes of conduct
- Stakeholders themselves.

What are the best performers doing? What capacities do they have? What do the stakeholders say they need to play a role in regarding the desired change?

Bring stakeholders together to assess their own ideal roles and the capacities they need to play them, writing them out on cards or in two columns on flip chart paper as shown above. Then ask them to present their assessment in turn, building on what they hear from those who presented before them. This will bring to the surface the *patterns of responsibilities*: what the different actors can do to support one another.

When programming for policy results there is one important dimension your situation and stakeholder analyses should always pay attention to: policy effectiveness and public finance. Achieving policy results typically implies leveraging significant public resources as lack of funding means no proper implementation (i.e., ineffective policy or public programme). Indeed, public budgets and social expenditures are clear and concrete manifestations of government policy priorities. As Figure 5 shows, much of the problems in child outcomes UNICEF encounters in the field can be related to issues in the public planning and resourcing process. This is why understanding the PFM process is essential for policy results.

Using the example shown earlier, discrimination and stigma could be addressed in many ways by public policy (e.g., communication for development, new social protection programmes or adjustments in programmes). However, without exploring the *existing public effort* addressing some basic causes (in terms of interventions, funding and operational efficiency) your participatory analysis will be incomplete. Indeed, too often development partners cost a new public programme initiative without exploring first the

- existing public effort (and related efficiency issues)
- limitations in the PFM system (e.g., transparency, budget classification, reporting)
- political economy behind existing allocations
- fiscal space available (but typically contested by others)
- public planning and budgeting cycle (annual and mid-term)

Tool 8 can help ensuring that public budgets and stakeholders with major financial resources (implicated in the change the policy project or programme of UNICEF intends to influence or leverage) receive adequate attention throughout the participatory RBM process with partners.

Figure 5. Government planning and budgeting steps – and issues UNICEF supported process can help addressing



Tool 8. Policy effectiveness and public financial management – capacity checklist

CHECKLIST	WRITE DOWN YOUR CONCLUSIONS
➤ What is your <i>adjusted</i> problem statement?	(From SitAn: the underlying or basic cause you want to address)
➤ What public programmes exist to <i>specifically</i> address this issue?	(Note also outliers: sometimes at subnational level the picture is different and for a reason)
➤ What other public programmes are there which may have important <i>indirect</i> effects?	(E.g., WASH or social protection are nutrition-sensitive rather than nutrition-specific programmes)
➤ What do we know about the <i>financing</i> and efficiency of these programmes?	(Note: addressing data gaps and issues around budget classification or transparency could be projectized here or separately)
➤ What do we know about the <i>effectiveness</i> of these programmes	(E.g., through PERs, IEs or similar quantitative and qualitative assessments)
➤ What adjustment or new programme could be realistically proposed?	(Issues to consider include fiscal space, absorption/implementation capacity, etc.)
➤ Where are the best entry points and how to leverage change in financing?	(Consider your full stakeholder analysis when answering this question: often action from a willing partner (public or private) will be more effective than directly from UNICEF.)

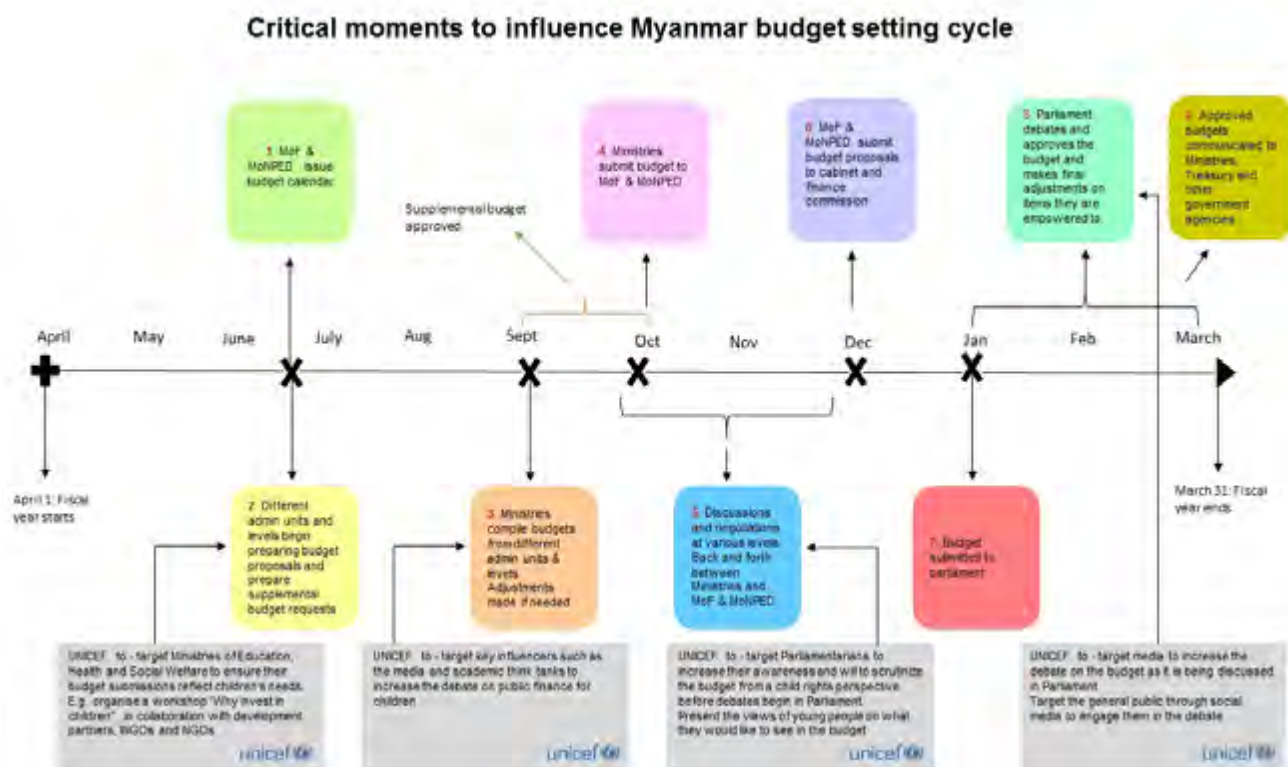


Ideally UNICEF’s programming cycle aligns in terms of timing to Government’s national planning. This alignment ensures that UNICEF’s child situation analysis feeds into the national situation analysis and thus contributes and informs national development priorities and target setting. Afterwards, those priorities are translated into sectoral plans and associate sectoral budget allocation.

Notwithstanding this is not always the case, thus, while developing UNICEF outcomes and outputs it is important to identify opportunities along the annual national/local government planning and budgeting cycle to bring UNICEF’s priorities ‘in plan and in budget’.

A practical example from Myanmar is illustrated in the figure below. The figure clearly identifies the annual PFM national government cycle and the opportunities and time frames for UNICEF influencing the cycle.

Figure 6. Myanmar central government PFM annual cycle



Step 4. Establishing strategic priorities

Your analysis (see Steps 2 and 3 above) allows you to see the big picture, beyond where your agency (UNICEF or key partner) will be able to intervene. Rather than blindly selecting lines of action because they are what you already do or because they fit with the latest development fad, a sound assessment allows you to make more clear sighted and strategic choices about the results you will aim for, and the strategies you will employ to achieve them.

The quality of your assessment, and the priorities you select as a result, will in large part determine the soundness of your programme design and ultimately the effectiveness of your intervention.

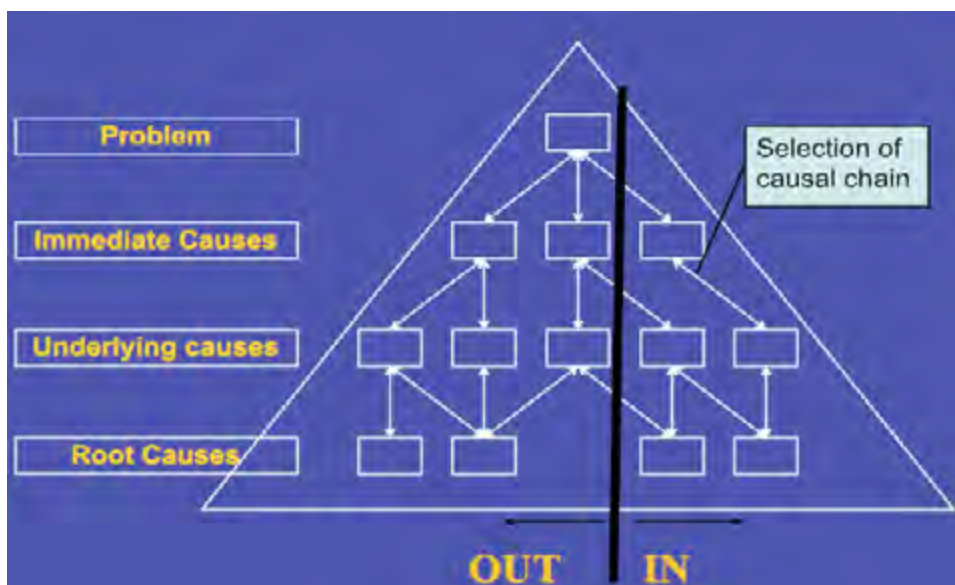
Too often programs read like a wish list with no hierarchy or strategic focus. A vital way to improve impact is to clearly identify a very few select key strategic areas for intervention that are likely to be game changers.

Tips for priority setting

- Bear in mind your budget and your programming time frame. **Be realistic** as you set:
 - the scope of your programme (the range of issues it addresses)
 - your reach (the number of girls, boys, men, women, institutions and groups you seek to affect)
 - the ambition of your results and targets.

Go back to your problem-based causality analysis and select the causal chain(s) your intervention will aim to address:

Figure 7. Selecting causes to address



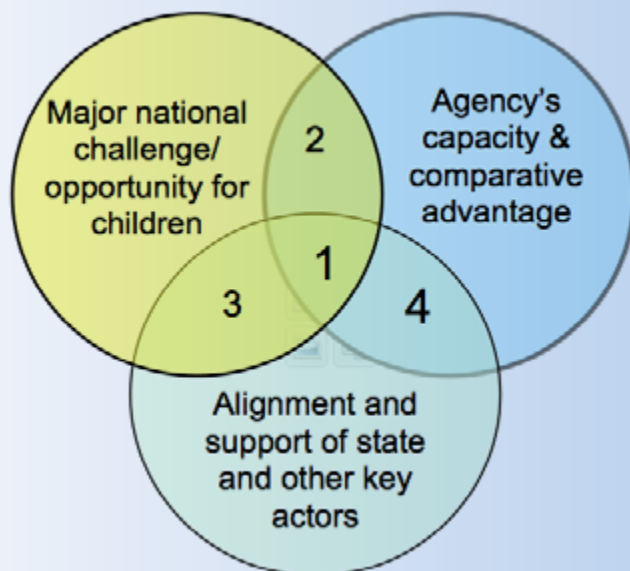
Note that the causality framework can draw your attention towards a strategy: addressing one cause can address others. Whenever possible, consider your asset-based analysis and select the positive deviants and the success factors you can replicate. Pay particular attention to core bottlenecks you identified with the help of the 10 determinants tool.



Once you have drawn on your analysis to generate possible areas of intervention, use Tool 9 to assess them and select the top one to three most likely to generate a windfall of results.

Tool 9. Assessment of intervention areas using selection criteria

In generating and then selecting areas for intervention, **consider these criteria and where they overlap:**



In the tool above, noting which initiatives fall in the overlapping areas will help you to prioritize them as follows:

1. 'Low hanging fruit': high impact and actionable now
2. Requires negotiation/consensus building to seek alignment
3. Requires building UNICEF capacity; may duplicate others
4. Easy but won't contribute significantly to change for children

Do this assessment collectively, by using 'Dotmocracy' with sticky dots or coloured markers to select among various options in a participatory way.

Assign criteria for dots by colour (e.g., yellow for major national challenge/opportunity for children, blue for area of capacity and comparative advantage, and green for where there is alignment and support of state and other key actors). Give each participant a finite number of dots (votes) and ask them to post the dots on the wall by their preferred option.

Tally up the dots to determine which intervention areas fall in which of the above four categories. Be sure to engage in meaningful reflective dialogue to come to a final selection of areas most likely to *have pivotal (domino) effects and lead to sustainable change.*

Once you have selected priority intervention areas, consider how you can maximize the 'bang for your buck' by being strategic in your choice of interventions. Use your limited resources to influence other key actors through, for example, advocacy, policy and operational research, knowledge brokering and dissemination, convening of the 'whole system' to coordinate action around selected issues, and other upstream capacity-building activities.



Step 5. Define your expected results

Your analysis (Steps 2 and 3) and strategic priority setting (Step 4) provide a solid foundation for defining your expected results, or the changes you want to achieve through your programme or project.

5.1 Crafting results statements

A result is a describable or measurable change in state derived from a cause-and-effect relationship.

As shown in Figure 8, your results statement should be simply worded, containing one idea, and indicating the direction of change with a verb such as increased or reduced. (See Annex 9 for a sound results checklist.)

Figure 8. Crafting your results statement



Source: Adapted from *Guidance Note for External Partners* (2014), Bill and Melinda Gates Foundation.

5.2 Levels of results

The United Nations typically articulates three levels of results: impact, outcome and output.³ Each level of result, broadly speaking, has different levels of possible changes:

Outputs = changes in capacities

Activities generate outputs such as changes in key stakeholders' knowledge, skills, attitudes, authority, resources, understanding and motivation.

Outcomes = changes in performance

Outputs in turn may lead to outcomes such as changes in access and quality of services for children, behaviour, decision-making, policymaking, and increased efficiency or effectiveness.

Impact = change in conditions

Outcomes ultimately lead to changes in economic, social, cultural, civil, political and environmental conditions. UNICEF seeks changes in the lives of children, women and



disadvantaged families; with their rights protected, with changes in their socio-economic conditions which enable them to meet their full potential, such as:

- Decreased levels of child poverty
- Better living conditions for vulnerable populations
- Reduced multidimensional child poverty rate
- Improved realization of children’s rights

Results at the impact level are attributable, at least in part, to the investment of UNICEF in a programme country or region. This is because impact level results are long-term changes sometimes beyond the life of a project or programme. Multiple actors may also be contributing to the same impact; thus, attribution is not straightforward and may be multiple.

5.3 The results chain and the logic model

Results are commonly linked together in what is often called a **results chain**. A results chain links together the outputs, outcomes and impact. An output is the immediate effect of a completed activity. A set of outputs can lead to one or two outcomes and two or three outcomes will contribute to one key impact. Once a results chain is done, analyse and ensure the validity of the cause and effect relationships between result levels.

Below you will find an illustration of a logic model (Tool 10), followed by an example of a logic model (Figure 10).

The **logic model** is a one-to-two page depiction of the key results of a project or programme. It is a snapshot of your project or programme: it summarizes in a nutshell what your programme or project hopes to achieve. The logic model depicts the entire results chain from the inputs that are required to generate the activities to the effects of those activities at the output, outcome and impact level.

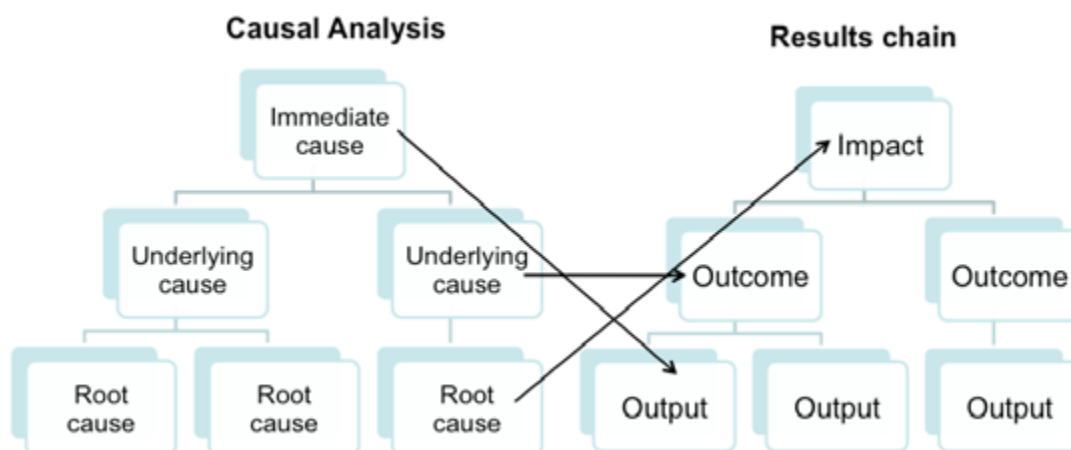
5.4 Using your analysis to develop your logic model

The logic model is a participatory tool for co-creating a collective vision of the desired change, allowing multiple stakeholders to commit to a shared programme. Design the logic model with key stakeholders at the project/programme design stage as it will help you to develop your narrative and ToC. A clear logic model with a good causal relationship at the different levels of results will provide clarity and cohesiveness.

To develop it, gather your stakeholders together to analyse and prioritize the issues in partnership (Steps 2-4 above), and from there to create a logic model, using pieces of paper on the wall.

First, invite stakeholders to review the problem-based causality analysis. Can the selected causal chain(s) be flipped into results chains as illustrated in Figure 9 below?

Figure 9. From causal chain to results chain



Also invite them to review the asset-based analysis. Are there results achieved by the positive deviants and success factors that could be replicated by your programme? Use those to develop your expected results as well.

To formulate your impact statement, return to your adjusted or final problem statement (Step 2.2) and flip it into a results statement. For example, the problem statement, "Children do not have equitable access to social protection in country X" might become the impact statement, "Reduced levels of child poverty and social exclusion."

To refine your outcomes, review your stakeholder role analysis. What did you say you would like key actors to do differently to achieve your desired impact? What changes in whose practice and behaviour, policy and programming, would you like to help achieve as part of your programme? Formulate these as two to three outcomes which will help achieve your expected impact.

To refine your outputs, review your stakeholder capacity analysis. What capacities did you say those key actors would need in order to make those changes in their performance? Formulate these as two to three outputs per outcome. Remember that lower level results are building blocks for higher level results. There must be a clear cause-and-effect relationship between the different levels of results.

Then consider what strategies and activities could enable you to achieve these results. Add those to your logic model, clearly linking them to the outputs they would help achieve. Return to any strategic priority-setting exercises you did (Step 4) to help you select appropriate and strategic interventions.

Tool 10. Logic model (see template in Annex 5)

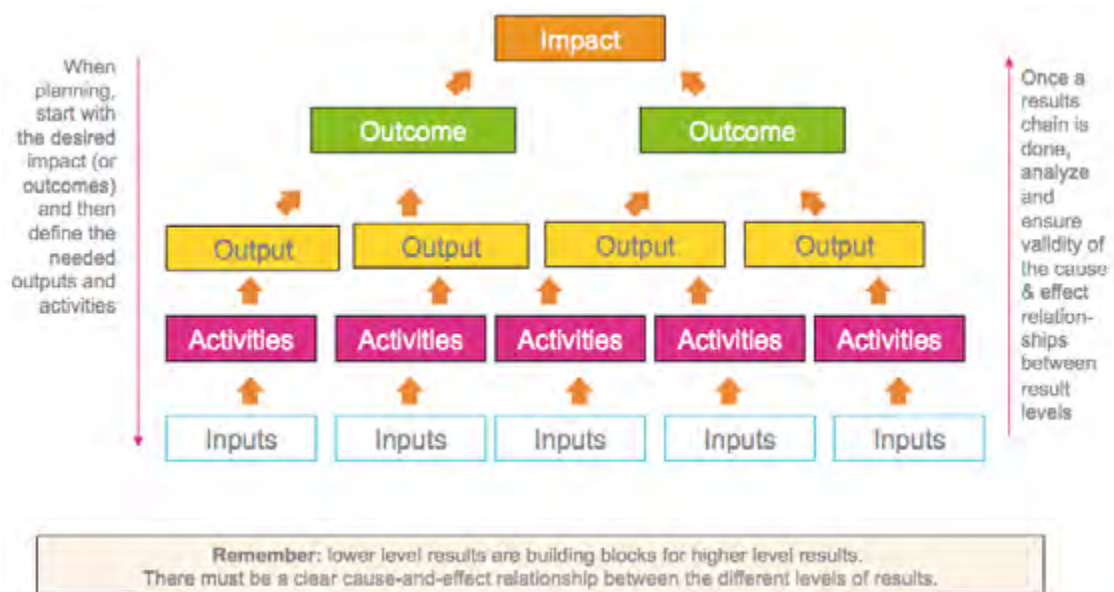
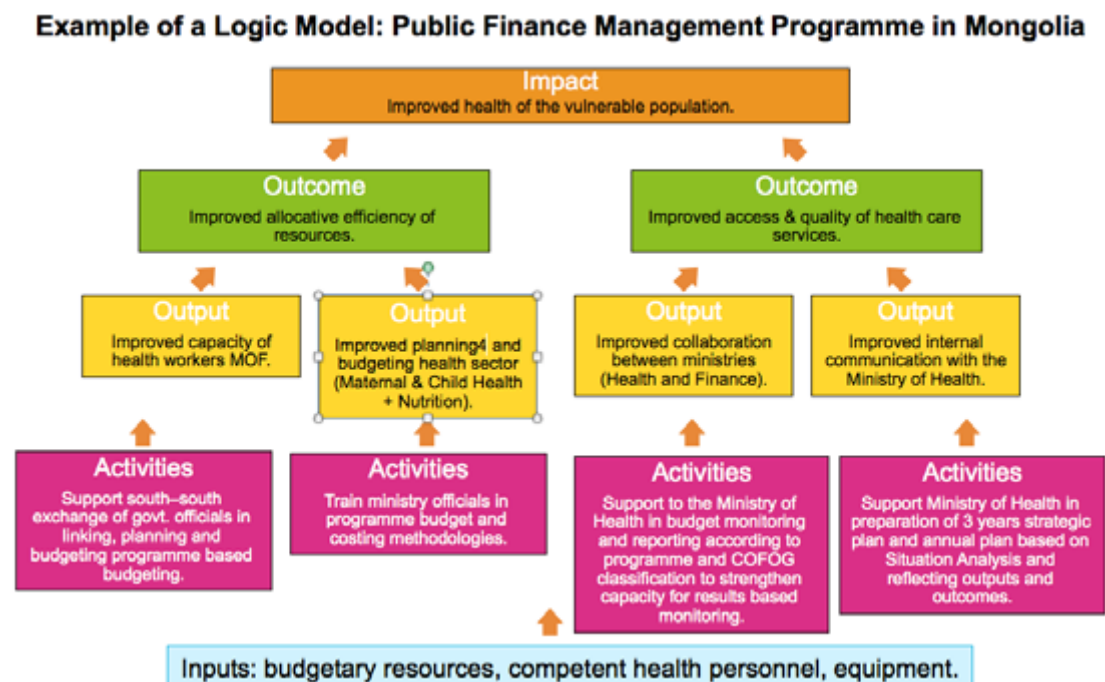


Figure 10. Example of a logic model



Source: RBM and ToC workshop for UNICEF, Mongolia, 14–17 April 2015.

5.5 Reconciling strategic priorities and the logic model with available financial resources

After having set the strategic priorities (Step 4) and the logic model you should ensure that identified strategic priorities, outcomes, outputs and activities are consistent with the financial resources for the programming period.

To ensure this consistency you should:

- Calculate the costs associated with the achievement of the set priorities and logic model
- Estimate UNICEF country office financial resources
- Identify entry points into government’s PFM cycle to include child-focused outcomes, outputs and influence associated budget allocations. This is particularly relevant in middle income countries (MICs) and upper MICs, where official development assistance (ODA) to national governments as well as UNICEF is low and/or decreasing. Almost always national government’s own revenue sources are the main driver for child rights and results for children (Addis Ababa ‘Third International Conference on Financing for Development’, 27 July, 2015).

Consider the following tools to reconcile strategic priorities and the logic model with available financial resources:

Tool 11. Funding requirements

You should calculate how much it costs to implement the outcomes, outputs and activities identified.

Costing is important for the principles highlighted in the Box below.

Some costing principles

- Costing ensures the link between planning and budgeting
- The costing exercise is fundamental for concrete implementation of the plan
- Costing allows you to evaluate interventions (value for money assessment), do cost-benefit analyses and undertake strategic modification along implementation
- Costing supports outcome measures and accountability of service delivery

To cost the outcomes, outputs and activities you can consider the methodologies highlighted in the Box below and use the most appropriate in your case.

Costing methodologies

- Output-based costing
- Activity-based costing (ABC)
- Inputs Costing

However, considering the shift from line item budgeting to results-based budgeting (outcome based) it is advisable to adopt output costing, when possible 'in plan and in budget'.

Figure 11. A sample of a costing template

Strategic Priority:				
Sub-Strategic Priority:				
Inputs	Input Costs	Core Activities	Outputs	Outcome
		Activity 1:		
Input 1:				
Input 2:				
Input 3:				
		Activity 2:		
Input 1:				
Input 2:				
Input 3:				
		Activity 3:		
Input 1:				
Input 2:				
Input 3:				
		Activity 4:		
Input 1:				
Input 2:				
Input 3:				



Tool 12. Estimation of project or programme financial resources

What is an estimation?

- To estimate simply means to look ahead to predict what a situation might be in the future
- A revenue estimation means a forecast of expected revenues over a period of time
- UNICEF country offices should conduct a revenue estimation for 3-5 years in advance, although it can sometimes be difficult to predict that far ahead

UNICEF country office lists the expected revenues from all sources – own revenue source, additional donor contributions and others for the 3 to 5 subsequent years. Each of the sources shall provide guidelines on how its funds should be allocated. Concerning own revenue sources, UNICEF offices must always be careful not to overestimate the amount of funds they will be able to mobilize. In case indicative resources are not provided, UNICEF offices use the previous year's amount received as a basis for the initial forecasting. Donor funding is the source often most difficult to estimate. Therefore, it is advisable, that offices include donor funding in their estimates only if there is a firm commitment from the donor or concerning availability of funding for the planning period.

A reliable estimation of financial resources is the basis for meaningful multi-year resource constrained programming.

Figure 12. A sample table for UNICEF Offices financial resource's estimation

	INDICATIVE RESOURCE ENVELOPE			
UNICEF	FY 2015	FY 2016	FY 2017	FY 2018
IB				
RR				
OR				
Other				
TOTAL				



If funding requirements exceed the estimated resource envelope, it is IMPORTANT TO PRIORITIZE; it is necessary to go back and revise strategic priorities (Step 4), outcome and outputs accordingly.

As stated earlier, prioritization can lead to reduction in the number of strategic priorities or subpriorities.

There are different approaches to prioritization under financial constraints:

- A. Each of the strategic priorities carries a certain level of urgency which should be determined through:
 - Child situation analysis, stakeholder analysis (Step 2-4)
 - Performance gap between its state and that of national and global sector specific targets (e.g., SDGs)
- B. For each of the strategic priorities you should define outcomes and associated targets. Another possibility is to reduce the number of the outcomes and/or outcome targets.
- C. In principle, outputs and activities should be downscaled only when also the outcome target is revised.

Step 6. Plan how you will monitor those results

Once you have collectively defined the results you expect to achieve through your programme and budget, the next step is to think about how you will track your achievement of those results. Developing indicators for each result and planning how you will measure them will help you test whether your results are measurable. Revise your logic model if needed at this stage, to ensure it will actually allow you to manage for results.

Your monitoring plan should be like the performance dashboard of your programme or project: easy to use; simplifies reality and provides information about a programme's performance that is relevant to decision makers.⁴

Figure 13. The Performance Dashboard



Source: Schacter, Mark, 'The Art of the Performance Dashboard', 2010.

Monitoring consists of the periodic review of a project or programme's progress. We monitor for a number of reasons:

- for accountability
- to track progress on an on-going basis
- to make adjustments along the way to your project or programme
- to inform decision-making
- to self-correct.

Monitoring is typically done internally by project staff on an on-going basis. Like the dashboard of your car, your programme or project should have indicators that will tell you whether you are on the right track or not. Quantitative and qualitative indicators to measure the achievement of results are critical to your dashboard. And, in order to measure progress, so are baseline and targets.

The following presents key elements of your monitoring plan, like the results, indicators, baseline, targets, and methods, sources of information, frequency and responsibility. Tool 13 below shows the key elements of your monitoring plan:



Tool 13. Monitoring plan (see template in Annex 6)

Expected Results (From the Logic Model)	Indicators (3 per result, at least 1 quantitative, 1 qualitative)	Baseline (Value of Indicator at outset)	Targets (Desired Value of Indicator by x time)	Source (From whom the data will come)	Methods (Means of verification of the indicator)	Frequency (How often the indicator will be monitored)	Responsibility (Who will collect & analyse the data)
Impact (Long term changes in conditions)							
Outcome (Medium term changes in performance)							
Output (Short term changes in capacities)							

Expected Results: Take the results from your logic model and reproduce them in the first column. Each key result at the output, outcome and impact level requires two to three indicators to measure change: at least one quantitative and one qualitative. The rest of your monitoring plan will include one row per indicator, where you will record how you plan to track that indicator over the life cycle of your project or programme.

Remember, you're aiming to create a dashboard, not a monster of indicators you won't have the time or resources to monitor. If you have two to three indicators per result, and about nine results in your logic model, that will give you up to 27 indicators for your project.



Indicators are 'signals' of achievement or change related to an expected result. An indicator can be a qualitative or quantitative measure of performance: a number, a fact, an opinion, or a perception that acts as a pointer along a scale or dimension. Indicators help us measure achievement against performance targets established jointly by project stakeholders for expected results.

Here are some examples of quantitative vs. qualitative indicators for social inclusion:

Quantitative Indicators	Qualitative Indicators
<ul style="list-style-type: none"> • Number of policies, plans and programmes in social sectors informed by the evidence/knowledge generated by UNICEF support • Execution rate of social sector budget • Proportion of provincial and district investment plans developed based on participatory needs assessments at community level in targeted provinces 	<ul style="list-style-type: none"> • Perception of extent to which National Strategic Development Plan prioritizes social protection with a focus on the most vulnerable children • Perceptions of quality (assessed along a scale) of national monitoring and evaluation system for social protection programmes for vulnerable children • Degree to which national social protection programming targets the most vulnerable children

There are a number of important factors in selecting the most appropriate indicators. The essential criterion is that it measures the expected result.

Ideally, the indicator also:

- is nationally owned/part of the government's own monitoring and evaluation framework
- is part of the United Nations Development Action Framework (UNDAF)
- is aligned with UNICEF Strategic Plan (and its indicators)
- is developed in a participatory way – indicators should be relevant to needs of the user (stakeholder validation)
- is realistic and reflects country measurements of achievement.

One should always use a combination of quantitative and qualitative indicators to cross-check and triangulate your findings and generate a richer understanding of what has been achieved.

There are a number of pointers and tips when it comes to selecting indicators:

- The indicator should be neutral
- No direction of change in the indicator
- No increase or decrease in the indicator
- The target is what signals how much change and in what direction
- The baseline and target should use the same unit of measurement as the indicator!



See Annex 9 for an indicator selection checklist.

Ask yourself a number of questions when deciding on indicators:

- At the **impact** level, what measures can verify the change in the lives of children?
- At the **outcome** level, how will you measure a change in the behaviour of duty bearers/responsibility holders in carrying out their obligations and responsibilities? Of rights holders in claiming their rights?
- At the **output** level, how will you know whether there is a change in the capacity of duty bearers, responsibility holders or rights holders?

Often it is common to focus on monitoring impact-level indicators (realization of children's rights), but not to track indicators at the level of outcome (stakeholder performance) or output (stakeholder capacities). Be sure to monitor these indicators as well! They will help you to assess the extent to which your programme is contributing to making the desired difference.

The Baseline is a clearly defined starting point (point of departure) from where implementation begins, improvement is judged, or comparison is made. Baseline data offer a snapshot of your organization, programme or project at the inception or beginning phase. The baseline is the value of the indicator at the outset.

The Target is what one hopes to achieve. It is the desired value of the indicator at a determined time in the future. Targets will normally depend on the programme period and the duration of the intervention and its activities. For example, the Social Inclusion Programme has the following targets for 2017:



- By 2017, EAPRO plans to move from a baseline in 2013 of 8 studies to 12 studies and/or research providing evidence to develop/improve equity-focused child rights policies and programmes;
- By 2017, EAPRO plans to move from a baseline of 0 in 2013 to a target of 3 child-oriented policies adopted by regional partners/networks;
- By 2017, move from a baseline of 2 in 2013 to a target of 14 countries supported in developing and implementing gender-sensitive, equity-focused social policies.

Data Sources are the Who. At the level of organization, this may be the partner organization, country office, government or women and men decision makers. At the programme level, data sources may be the most directly affected male/female community members; vulnerable women and children; or the general population. If Government statistics or sources of information exist, use these.

Your **data collection methods** are your means of verification and can vary widely. Examples include:

- Surveys
- Questionnaires
- Semi-structured interviews
- Focus groups
- Appreciative inquiry or most significant change testimonials
- Observation
- Transect walks
- Participatory rural appraisal (PRA) and participatory learning and action (PLA) methods.⁵



Your situation analysis may have identified gaps in data that contribute to social exclusion and inequity. Think therefore that your programme monitoring will not only enable you to track your achievement of results. It may also in itself contribute to meaningful change for children, particularly if you work hand in hand with government to improve their capacity for meaningful data collection and analysis. As you are developing your monitoring plan, think strategically therefore with your stakeholders about what indicators and data collection methods will best help to build local capacity and fill in knowledge and data gaps.

Frequency of monitoring may be monthly, six monthly, annual, even end of project. Monitoring will vary along the results chain. For example, you may only be able to monitor the outcome after year 1 or 2 or more of your project or programme. Outputs will typically be monitored on a more frequent basis.

Finally, **responsibility** refers to who will be responsible for collecting and analysing the data. Make sure to ensure a role for local stakeholders so that they understand the information they are collecting and can make appropriate decisions for their programming and implementation. Data should be analysed at all levels; not just the central level. Also, be sure to assign a specific UNICEF team member who will follow up, and include that in their work plan: otherwise, your monitoring plan might just end up in a drawer!

All these elements, from indicators to responsibility are essential to your monitoring plan and will enable you to not only monitor progress, but report on it as well.

Figure 14 presents a sample of some of the key elements of the monitoring plan for PFM in Mongolia. The monitoring plan requires two to three indicators for each output, outcome and impact of your logic model. Remember, you will also need to highlight the indicators, baseline and target in your upcoming reporting of your programme or project.

Figure 14. Sample table of some of the key elements of the monitoring plan for PFM in Mongolia

Monitoring plan for the Public Finance Management Programme in Mongolia (Health Sector, Partial)							
Results	Performance Indicators	Baseline	Target	Data Source	Data Collection Method	Frequency	Responsibility
Outcome: Improved allocative efficiency of resources	Percentage of Primary Health Care (PHC) budget as share of the total health budget.	23% (2012) Low	35% (2017) Medium	Ministry of Health (MoH) report satisfaction survey in selected services	Budget analysis Survey	Annually Biannually	MoH UNICEF
	Satisfaction of PHC workers in regards to budget adequacy to provide quality PHC services						
Output: Improved planning and budgeting of health sector	Development of programme budget structure in health	Poor	Approval of improved budget programme structure in health by 2015	Ministry of Finance (MoF)	MoF Minister decree	1-time activity	MoH, MoF, UNICEF
Output: Improved collaboration between MoF and MoH	Frequency of joint decisions.	5 Medium	15 in 2015 High	MoH meeting minutes	Review of the meeting minutes	Quarterly	MoH
	Motivation of MoH and MoF staff on PBB						

Source: RBM and ToC workshop for UNICEF, Mongolia, 14–17 April 2015.



Step 7. Assess the risks to achieving your results

Risks are potential events or occurrences beyond the control of the programme that could adversely – or positively – affect the achievement of results.

Managing risk means mitigating the threats – or capitalizing on the opportunities – that uncertainty presents to expected results.

Planning with risk in mind can significantly improve your programme design, grounding it in the realities of your context, and making it more likely that you will achieve expected results.

7.1 Risk identification

Your first step is to gather stakeholders around your logic model and brainstorm the risks to achieving your expected results.

Return to your causality analysis to help you identify risks. (See step 4, Figure 4.) The causes you are *not* addressing in your programme are programme risks to consider. If no one else addresses them, you risk not achieving your expected results. The causes no one is addressing may be where you need to focus your advocacy and policy agenda setting work.

Also consider the following categories of risk:

Development risks

- Policy environment
- Local ownership/commitment

Operational risks

- Team competencies
- Personal security
- Management systems

Financial risks

- Financial controls
- Cash flow
- Procurement

Reputational risks

- Stakeholder perceptions
- Values/ethics

7.2 Risk assessment

Next, invite stakeholders to rank those risks by assessing their level.

Ask them to assess:

- the level of **likelihood** that the risk will occur
- the level of **impact** that the risk would have on the programme results if it did occur.

Use the matrix below to assess the overall level of response required:



Figure 15. Assessing risks

Impact			
High (3)	Monitor Risks	Risk Mitigation Required	Risk Mitigation Required
Medium (2)	Acceptable Risks	Monitor Risks	Risk Mitigation Required
Low (1)	Acceptable Risks	Acceptable Risks	Monitor Risks
	Low (1)	Medium (2)	High (3)
	Likelihood		

7.3 Risk response

Based on your collective assessment of their likelihood and impact, select 7 to 12 top risks to achieving your expected results, then develop risk mitigation strategies. Consider:

- How can you reduce the impact of the risk?
- How can you reduce the likelihood that the risk will occur?
- How could you maximize the opportunity presented by the risk?
- Can you create contingency funds and flexible schedules to help you cope with risks?
- Can you share exposure or mitigation strategies with other organizations?

7.4 Review of programme design

Once you have identified and assessed risks to your results achievement and planned your response, reconsider your logic model and monitoring plan:

- Do you need to remove or revise some of your results and/or targets to make them more realistic?
- Do you need to adjust, add, or change activities, strategies, partners, target populations or geographic location, in accordance with your response strategies?

Use the risk register (Tool 14 below) to record the risks you've identified and assessed, and the mitigation strategies you have developed.

Tool 14. Risk register (see template in Annex 7)

Expected Result (as per Logic Model)	Risks (top 7-12 for project)	Risk Level Likelihood: Impact:(L/M/H)		Mitigation Strategy
Impact:				
Outcomes:				
Outputs:				



Step 8. Write up your Theory of Change

Over the past decade, ToC has gained prominence in development circles as an important element in understanding how change occurs.

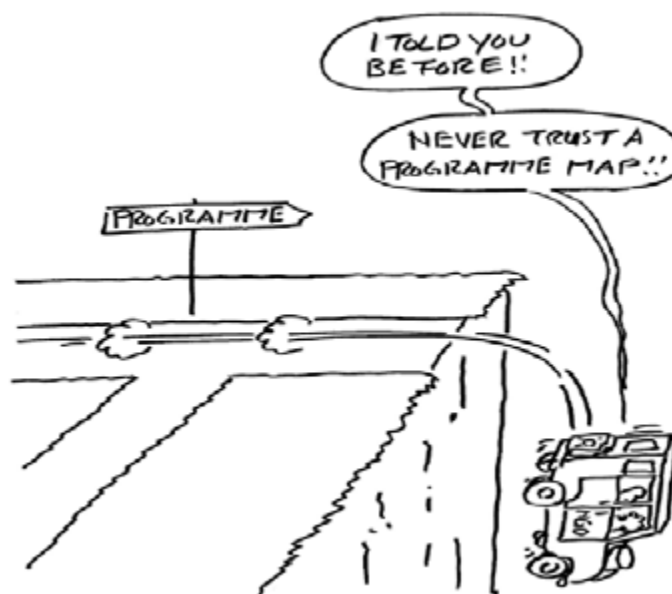
A ToC describes the reasoning for **why** a programme (or system or organization) exists and **how** the desired change is expected to come about. In contrast, logic models (while they implicitly contain a ToC) serve to graphically illustrate programme components. Creating one helps stakeholders clearly identify impact, outcomes, outputs and activities. Having both can greatly improve programme design, monitoring and evaluation.

A ToC is also a strategy for change as it explains all the major things that need to be in place in order for development change to occur. It is not just about what UNICEF must do, but what all partners and non-partners must do to make real change happen.

The ToC articulates the theories and assumptions which underpin the anticipated change process – the process through which it is expected that inputs will be converted to expected outputs, outcomes and impact.

A ToC is particularly needed when we work on policy projects, when the leverage ratio is high and project period is long term. For example, if we want to use US\$5 million to influence how US\$5 billion is being spent, it is a very different scenario than if we are using US\$5 million to influence US\$50 million. In the latter case our inputs, activities and outputs are in the same league as those of the partners; we have a shared project, direct impacts, hence we can have shared indicators. If we use US\$5 million to influence US\$50 billion or more then we have a policy project where our eventual impact is indirect and the causality behind the impact of the US\$5 billion and impact of the US\$5 million will be entirely different. In these cases, clearly articulating the ToC is especially vital.

Make sure to undertake a ToC process that is manageable in scope by articulating what has to happen **IN ORDER** for expected results to be realized, and assumptions about why that is. Summarize your theory in ways that serve the purposes of your different stakeholders. Remember: a ToC narrative that builds from an underlying logic model or results framework which in turn builds from a strong causality analysis is a much more powerful tool.



Tool 15. Theory of Change narrative (in six steps)

1. Referring to your logic model, **identify your desired impact**.
2. **Map backwards** how your outputs and outcomes are contributing to the next level of results. Make explicit your theories about how change at one level will lead to change at the next (e.g., training will lead to increased skills in policymaking which in turn will lead to improved policies and programmes, which will improve children's lives).
3. **Identify your assumptions**. What else are you assuming is in place so that you can achieve your desired results? Refer back to your causality analysis to help you identify your assumptions (See Step 4, Figure 4.). There are causes you are *not* addressing, and you may be assuming that someone else is addressing them, or that they do not need to be addressed for you to effect meaningful change through your programme. *Note: This step is particularly important in upstream policy work and should be aligned with your research agenda and/or partnership-building strategy.*
4. **Identify the key interventions** that your initiative will undertake and the pathways of change they will enable.
5. **Highlight the indicators** you will use to assess the performance of your initiative.
6. **Write a narrative** as above to explain your ToC.

Figure 16. Examples of Theory of Change narratives

Example of a ToC narrative (1/2):

Public Finance Management in the Health Sector in Mongolia

In 2015, UNICEF and the Government of Mongolia will work together to improve health sector financing methodologies in order to achieve better outcomes for the most vulnerable children.

This result will be reached by improving programme-based budgeting which will lead to increased budget for PHC and maternal and child health care programmes. An increased budget for primary health care will improve access and coverage of high impact and low cost newborn and child health (MCH) interventions.

By choosing four main pathways of improving planning and budgeting of the health sector, strengthening capacity of health workers, enhancing collaboration between MoH and MoF and promoting internal coordination within the MoH, we aim to achieve the most efficient use of allocated resources.

We assume that the legal environment for programme-based budgeting is in place and the political commitment is maintained for more efficient health budget allocations in favour of primary health care.

Taking into consideration the comparative advantage UNICEF has in promoting child rights and equity focus, we will bring technical expertise in programme-based budgeting, support south-south exchange and equip relevant government officials with necessary programme-based budgeting tools.

Our result will be demonstrated by at least one-third of the total health budget to be allocated to PHC followed by satisfaction of health workers in budget adequacy.

Source: RBM & ToC workshop in Mongolia, 14–17 April 2015.

Example of a ToC narrative (2/2):

Child-Sensitive Social Economic Development Plan in Viet Nam

As part of the 2017-2021 UNICEF Country Programme, the Social Policy and Governance Programme of UNICEF has been supporting the Government of Viet Nam to develop a child-sensitive Social Economic Development Plan (SEDP) at the national and sub-national levels. The key identified impact is reduced multidimensional child poverty by 2020 which can be achieved through two major outcomes: i) improved prioritization of children's issues in the SEDP and ii) effectively and efficiently allocated and utilized public financial resources.

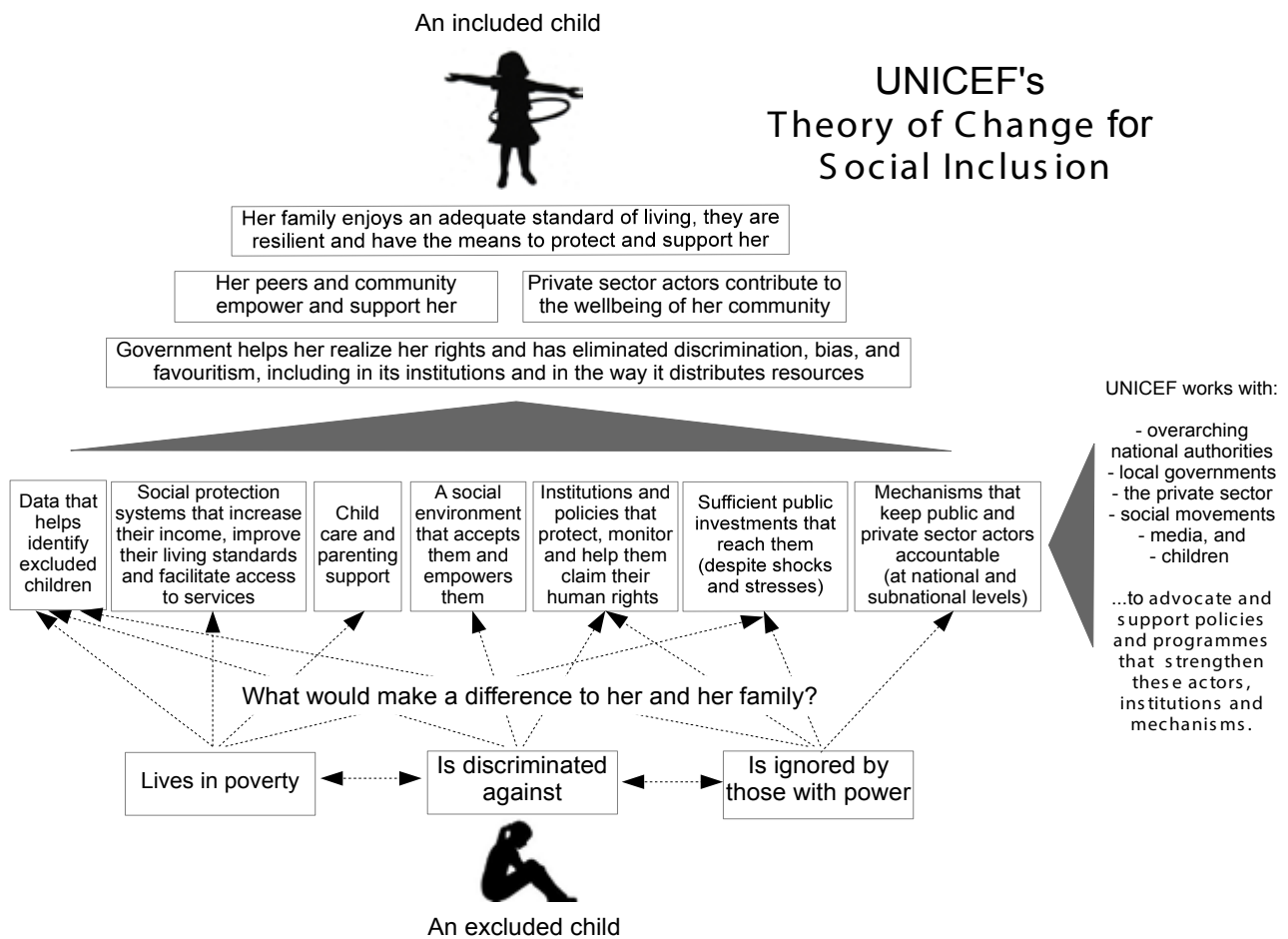
The key outputs contributing to the above mentioned outcomes include generation of analysis and evidence on children's priorities; increased public awareness and dialogues on child-sensitive SEDP and public finance for children; increased institutional commitment and motivation of policymakers and National Assembly members on children's issues.

This ToC is based on the assumption that policymakers remain committed to the realization of child rights and priorities. Another assumption is that the Government continues to improve their transparency and accountabilities in public finance management.

Taking into consideration good practices at the sub-national level, UNICEF will conduct analysis and provide evidence on the situation of children rights as well as on budget allocation and utilization. In addition, UNICEF will support the development of child-sensitive SEDP guidelines and facilitate dialogues and consultation with various stakeholders for the adoption and application of this guideline. The support of UNICEF will also focus on strengthening the capacity of various stakeholders in child-sensitive SEDP at national and sub-national levels to ensure their ownership.

Source: RBM & ToC workshop in Viet Nam, 21–24 April 2015.

Figure 17. UNICEF's Theory of Change of social inclusion



Step 9. Implement, monitor, evaluate and adjust your programme

Much of the emphasis in RBM has been on the development of the logic model, which is the backbone of results-based planning. Yet just as solid analysis is essential to good planning, monitoring and evaluation is key to Results-Based Management.

As stated above, Results-Based *Management* is about:

- Focusing, as you implement, on the change you want to achieve.
- **Learning** from tracking process and outcomes.
- **Adjusting** resources, activities and strategies as needed to better effect the desired change.

RBM should make it safe to fail, and safe to learn.

For this, you will need to:

Monitor: Track the progress of the project through regular (e.g., annual) site visits and/or review meetings with stakeholders, and act on monitoring findings, for example by:

- adjusting results in tools
- identifying areas that need closer attention
- realigning resources
- adjusting strategies and activities to ensure results are achieved.

Be sure to also monitor your ToC. For example, what if our assumptions about the link between intervention strategies and change for children turn out to be wrong? How can we self-correct or adjust?

In policy work because of the distance from control, we might also want to monitor our assumptions about how other actors are helping to address the issue at hand. A strategic approach to this would be for UNICEF to play a convening role by bringing together multiple actors to plan and coordinate around the policy issue.

Evaluate: Objectively and systematically assess the extent to which expected results have been achieved.¹

- Were implementation processes successful?

Evaluation basically asks three questions:

- Is the right thing being done?
- Is it being done well?
- Are there better ways of doing it?
- Did the ToC bear out or does it need revision?

For this you need to have relevant and reliable data for your selected indicators. Be sure to document your lessons learned and incorporate them into the next planning phase.

Report: Document actual vs. expected results as well as unanticipated results. (See Step 10)

¹ For Full definition see Norms for Evaluation in the United Nations System, UNEG, 2005.

Your results-based planning tools are also your management tools:

The Logic Model: Pull it out of your back pocket so you know what activities and results to monitor, evaluate and report on. Adjust your inputs, activities and perhaps even your lower-level results as you learn from your implementation experience.

The Monitoring Plan: This is your main guide for monitoring and evaluating whether you are achieving the results you hoped for. By adding in extra columns next to the indicator column, you can also use the document itself to record the value of your indicators at different points in time over the lifetime of your project.

The Risk Register: In the real world of development, risks will change constantly during the life of the project or programme. As part of your monitoring activity, take out your risk register and in your review meetings reassess it at least annually. As risks arise or disappear, change the risk definitions as needed. Add columns next to the risk level column and re-rate the risks at regular intervals. Also track the use and effectiveness of your risk mitigation strategies and change that column as necessary.

The Theory of Change Narrative: Pull this out along with your logic model so you can monitor, evaluate and report on the validity of your ToC.

It is critical to keep the same words from one tool to the next so that the relationships and logic can be clearly seen. A change in one tool should be reflected in the others. This makes it easier to manage adjustments throughout the programme.

Evaluation is not just helpful for organizational learning and knowledge management; it can also generate important evidence for policy advocacy, and for further programming. Too often evaluation is seen as a separate, additional activity and/or a step necessary for accountability, rather than promoted as integral part of effective planning processes with partners. As noted in the UNDG RBM Guidebook (Annex 1) evaluation is an essential step in the RBM life cycle and a requirement for the UNDAF.

The purpose and intended use of evaluation in UNICEF and in public policy

Evaluation aims to help UNICEF continually to improve its performance and results, by supporting organizational learning and accountability. It serves to support planning and decision-making, and to provide a basis for informed advocacy for children everywhere. The evaluation function is carried out at all levels of the organization, and it is applicable in all contexts from humanitarian to development. (Source: UNICEF 2013 revised evaluation policy p. 4 and 5; http://www.unicef.org/about/employ/files/2013-14--Final_approved_Revised_Evaluation_Policy.pdf)

Evaluation is defined as *“an assessment, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area or institutional performance. It focuses on expected and achieved accomplishments examining the results chain, processes, contextual factors and causality, in order to understand achievements or the lack thereof. It aims at determining the relevance, impact, effectiveness, efficiency and sustainability of the interventions and contributions of the organizations of the United Nations system.”* (Source: Norms for Evaluation in the United Nations System, UNEG, 2005).

Evaluation is distinct: (i) from other functions in the oversight spectrum, although it draws from and informs the products of the other oversight functions (i.e. audit); (ii) from monitoring, as it attends much more widely to issues of relevance, context, causality and eventual impact and sustainability; and (iii) from research. Evaluations should be useful. Utility and intentionality are key standards to be addressed in any evaluation activity, and the intended use of an evaluation should determine the choice of evaluation approach and methodology.

Ex ante evaluations take place before a program is implemented; during the implementation of a program evaluation are used to understand performance and distill corrective measures both for process and budget implementation; finally ex-post evaluations take place after implementation. Ex post evaluation focus more on outcomes and impact while those that are done during implementation focus more on activities, outputs and outcomes.





Evaluation of public programmes -or the lack of it- is a major concern for government planning and resourcing. For example, the National Development Planning Agency of Indonesia (Badan Perencanaan Pembangunan Nasional BAPPENAS) has the administrative function of plotting a long-term blueprint for countrywide development through policy structuring and the efficient allocation of government funds.²

² See the website www.bappenas.go.id for more information.



Step 10. Report on your results and learning

All too often, periodic and annual reports talk a lot about activities and not enough about actual results. In RBM, we are challenged to report on what has changed vs. what was done. To guide your results-based report, use your monitoring plan, in particular the indicators, baseline, and target, and report on them. The contract that has been signed with the executing agency should spell out what to report on.

Tool 16. Results-based reporting format (see template in Annex 8)

Expected Output: Increased knowledge/awareness of social protection (SP) schemes for children 0-3 for parents/caregivers of community members.		
Indicator: % of target population understanding SP schemes	Baseline: 10%	Target: 80%
Actual Output (mid-term report):		
<p>After 1.5 years of implementation, a mid-term review conducted indicates that 50% of targeted parents/caregivers and community members understood the SP schemes well. They could not only explain all entitlements, but also provide their children with the opportunity to access the SP services when needed. This impressive result was due to good Communication for Development (C4D) activities taking place, including development of a culturally and linguistically appropriate communication package for awareness raising. It was also due to capacity development for community authorities; information, education and communication (IEC) motivators; and parents/caregivers. For the remaining time, another 50% of the targeted group, whose awareness needs further strengthening, will be the main focus of the communication interventions.</p>		
<p>Source: UNICEF Results-Based Management and Theory of Change training in Hanoi, Viet Nam, 20–24 April 2015. UNICEF EAPRO in cooperation with Mosaic.net International.</p>		

Your results-based report documents actual results at the output, outcome and impact level. You will need to refer to the expected results in your logic model and corresponding indicators, baseline and target from your monitoring plan.

Your monitoring plan will be your key aid in reporting: it tells you how to track the indicators you have selected to measure how well you are achieving results. Be sure to report on unexpected results as well. While you will refer to any relevant activities, it is important to highlight the *effects* of those completed activities, that is, their outputs and outcomes.

Too often organizations find they are unable to report against their expected results: the results were too ambitious; they cannot obtain data on their chosen indicators, or they have no baseline. To test out whether your expected results are truly measurable, write a report at the *beginning* of your project! This thought experiment is a great reality check, and will help you improve and develop a measurable logic model and a workable monitoring plan from the outset.

Another excellent practice implemented by some UNICEF programmes is to commission an independent evaluability assessment by a qualified institution before finalizing design and beginning implementation.



Annex 1. Resources

Results-Based Management:

Canadian International Development Agency, *Guide to Gender-Sensitive Indicators*, August 1997. <[www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/Policy/\\$file/WID-GUID-E.pdf](http://www.acdi-cida.gc.ca/inet/images.nsf/vLUIImages/Policy/$file/WID-GUID-E.pdf)>

Schacter, Mark, 'The Art of the Performance Dashboard', December 2010. <http://media.wix.com/ugd/dadb01_67024a8b0ac5243ee0d4e8f668ca1e4a.pdf>

United Nations Development Group, *Results-Based Management Handbook*, October 2011. <<https://undg.org/wp-content/uploads/2014/06/UNDG-RBM-Handbook-2012.pdf>>

United Nations Children's Fund, 'Formative Evaluation of UNICEF's Monitoring Results for Equity System (MoRES)', August 2014. <www.unicef.org/evaldatabase/index_77905.html>

United Nations Economic and Social Council, Gender Statistics, Report of the Secretary General, E/CN.3/2013/10, December 19, 2012 (United Nations minimum set of gender indicators) <<http://unstats.un.org/unsd/statcom/doc13/2013-10-GenderStats-E.pdf>>

United Nations Women Independent Evaluation Office, *Evaluation Handbook: How to Manage Gender-Responsive Evaluation*, 2015. <www.genderevaluation.unwomen.org>

Theory of Change:

Save the Children Theory of Change, Save the Children Global Strategy 2010-2015, Appendix 2.

United Nations Children's Fund, Revised Supplementary Programme Note on the Theory of Change for the UNICEF Strategic Plan, 2014-2017, 6 May 2014. ? <www.unicef.org/strategicplan/files/2014-CRP_14-Theory_of_Change-7May14-EN.pdf>

Vogel, Isabel. Review of the use of 'Theory of Change' in international development: Review Report, April 2012. <www.theoryofchange.org/pdf/DFID_ToC_Review_VogelV7.pdf>

Wageningen University and Research Centre, Theory of Change Knowledge Co-Creation Portal. <www.theoryofchange.nl>

UNICEF resources:

Generic links to UNICEF work and tools <<http://www.unicef.org/whatwedo/>>

Advocacy tool kit. <www.unicef.org/evaluation/index_60811.html>

Child Poverty Global Study guide and MODA. <www.unicef-irc.org/MODA>

Public Finance for Children Guidance & Training <http://www.unicef.org/socialpolicy/index_socialbudgeting.html>

Social Protection Strategic Framework. <www.unicef.org/socialprotection/framework>

M&E resource pack for child protection: <<http://www.unicef.org/protection/files/CPR-WEB.pdf>>

'UNICEF Revised Evaluation Policy' <http://www.unicef.org/about/employ/files/2013-14--Final_approved_Revised_Evaluation_Policy.pdf>

Child rights and human rights approaches to programming:

United Nations Children's Fund, *Implementation Handbook for the Convention on the Rights of the Child* (3rd ed.). Under each article of the Convention, the Handbook provides analysis and interpretation. <www.unicef.org/publications/index_43110.html>

General Comments (on specific articles or concepts in the Convention). <www.crin.org/en/library/publications/crc-general-comments#bb>

Concluding Observations from the United Nations Committee on the Rights of the Child on country compliance with the Convention, and State Party Reports on the Convention. <<http://tb.ohchr.org/default.aspx>>

Alternative (or 'shadow') reports on country compliance with the Convention Search in <www.crin.org>

United Nations Children's Fund, Guidance on Conducting a Situation Analysis of Children's and Women's Rights: Taking a rights-based, equity-focused approach to Situation Analysis, March 2012. <http://unicef.ge/uploads/Rights_based_equity_focused_Situation_Analysis_guidance.pdf>

'United Nations Practitioners' Portal on HRBAP. <www.hrbportal.org>



Annex 2. Visual summary of the 16 RBM tools

Tool 1. Reflection guide for a participatory & systems approach

<ul style="list-style-type: none">✓ Are we putting the system into the room, bringing together multiple actors who can and will work on achieving the desired changes?✓ Are we including diverse perspectives, especially the disenfranchised children and communities who understand the issues from the inside?✓ Are we creating a space for people to listen deeply with open minds, hearts and wills to each other and to the future that wants to emerge?	<ul style="list-style-type: none">✓ Are we emphasizing reflective and generative dialogue over expert presentations and debate?✓ Are we surfacing assumptions and exploring rationales: "Why is this issue important? Why do we think this potential intervention will work?"✓ Are we using facilitation methods that allow for individual input and collective analysis? (e.g., brainstorming on cards and dot scoring or 'dotmocracy').✓ Are we trusting the people and the process?
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Tool 2. Situation analysis: CRC article scan/card sort

Print and laminate a deck of cards, with a summary of one Convention article on each card (see Annex 3).

With key stakeholders (6-8 stakeholders in a group) take 15-30 minutes to sort through the deck and identify which of the articles most need to be addressed in your country and for which particular groups of children. If a key issue has already been chosen (such as social exclusion or poverty), then identify the articles most relevant to that issue. Refer to the full text of the Convention as needed.

Record your findings on the template summary sheet provided in Annex 4, Tool 2.

Variation:

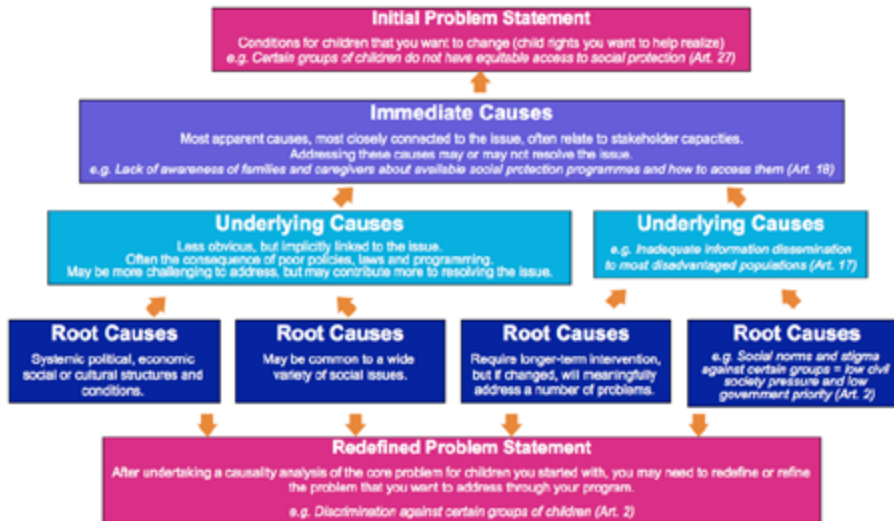
Scan the most recent **Concluding Observations** of the United Nations Committee on the Rights of the Child on your country and identify the most relevant articles and recommendations. Take advantage of the expert situation analysis the Committee has already carried out!

End Product:

Write a **problem statement** that identifies the condition(s) for children you want to help change (i.e., the child rights you want to help realize).



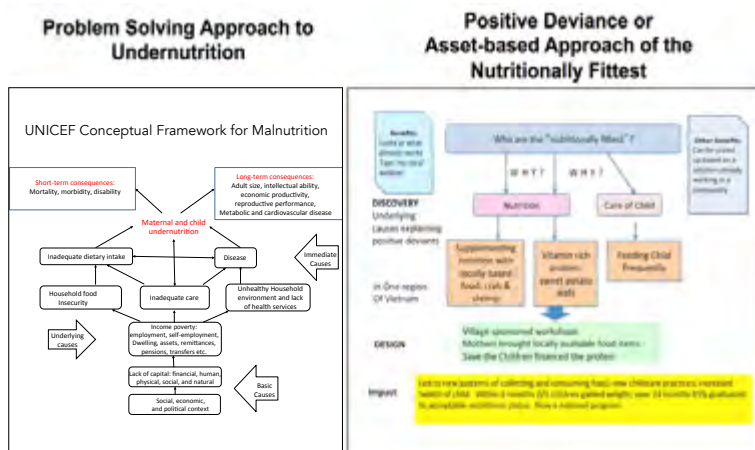
Tool 3. Problem-focused causality analysis



Tool 4. 10-determinant framework of causality: A checklist

10 Determinants Framework	Related problems (bottlenecks and barriers) or Assets Describe identified b&b/s to address and/or assets (positive deviance to build on). Write 'none', where you think there are none.	Causes Describe the causes of issues identified
1. Social Norms Widely followed rules of behaviour		
2. Legislation/policy Adequacy of laws and policies		
3. Budget/expenditure Allocation and disbursement of required resources		
4. Management and Coordination Roles and accountability/coordination/partnership		
5. Availability of essential commodities/inputs/information to deliver a service or adopt a practice		
6. Access (physical/geographical) to adequately staffed services, facilities and information		
7. Financial access Direct or indirect cost for services		
8. Social and cultural practices and beliefs Individual or community beliefs, awareness, behaviours, practices and attitudes and initial use of services/good practices		
9. Continuity of use Completion/continuity in service/practice		
10. Quality Either quality of service (adhering to international or national standards) Or Quality of practice (adhering to recommended practices – example exclusively breastfed for 6 months)		

Tool 5. Asset-based analysis



Tool 6. Stakeholder Identification a) Concentric circles b) Matrix of sectors and levels



		Sector		
		Civil Society	State	Private Sector
Level	International	International alliances and networks	International groups and organizations	Multinational companies
	National Macro	National networks and coalitions	National government departments, agencies or institutions	National chambers of commerce, large-scale industries
	National Meso	Individual NGOs, CSOs, universities, etc.	National and regional government, public institutions	Journalists, business associations, media
	National Micro	Community-based organizations, families, children	Municipal and regional governments	Individual entrepreneurs, employers

Tool 7. Stakeholder role and capacity analysis

Duty-Bearers or Responsibility Holders (supply side) <i>Ministry of Labour</i>		Rights-Holders and/or their supporters (demand side) <i>Children 0-3, their parents/caregivers, families</i>	
Roles (Obligations/ responsibilities they should fulfill in order to address the issue)	Changes in capacity (motivation, authority, resources) needed for the duty- bearer to fulfill their roles	Roles (What they can do to claim the relevant rights)	Changes in capacity (understanding, resources, risks) needed to play those roles
Develop and implement Social Protection policy, including: <ul style="list-style-type: none"> • Situation analysis • Propose policy options • Advocate with relevant ministries for approval • Capacity building (Ministry of Labour; Social workers) • Coordinate with relevant ministries • Monitoring, reporting 	<ul style="list-style-type: none"> • Motivation to consolidate Social Protection framework Capacity in: <ul style="list-style-type: none"> • M&E, reporting, data collection and analysis, Management Info Systems • Advocacy • Implementation • Policy design 	<ul style="list-style-type: none"> • Claim children's rights to social services • Fulfill their children's rights by accessing social protection schemes • Provide feedback to service providers • Share local practices with stakeholders to influence policy enforcement, revision, and development 	<ul style="list-style-type: none"> • Knowledge of children's rights • Understanding of social protection schemes and how to access them • Reduction in barriers to access • Consultation by relevant policy stakeholders to ensure relevance and appropriateness of social protection policy and services

Tool 8. Policy effectiveness and public financial management – capacity checklist

CHECKLIST	WRITE DOWN YOUR CONCLUSIONS
➤ What is your <i>adjusted</i> problem statement?	(From SitAn: the underlying or basic cause you want to address)
➤ What public programmes exist to <i>specifically</i> address this issue?	(Note also outliers: sometimes at subnational level the picture is different and for a reason)
➤ What other public programmes are there which may have important <i>indirect</i> effects?	(E.g., WASH or social protection are nutrition-sensitive rather than nutrition-specific programmes)
➤ What do we know about the <i>financing</i> and efficiency of these programmes?	(Note: addressing data gaps and issues around budget classification or transparency could be projectized here or separately)
➤ What do we know about the <i>effectiveness</i> of these programmes?	(E.g., through PERs, IEs or similar quantitative and qualitative assessments)
➤ What adjustment or new programme could be realistically proposed?	(Issues to consider include fiscal space, absorption/implementation capacity, etc.)
➤ Where are the best entry points and how to leverage change in financing?	(Consider your full stakeholder analysis when answering this question: often action from a willing partner (public or private) will be more effective than directly from UNICEF.)



Tool 9. Assess intervention areas using selection criteria

In generating and then selecting areas for intervention, **consider these criteria and where they overlap:**



In the tool above, noting which initiatives fall in the overlapping areas will help you to prioritize them as follows:

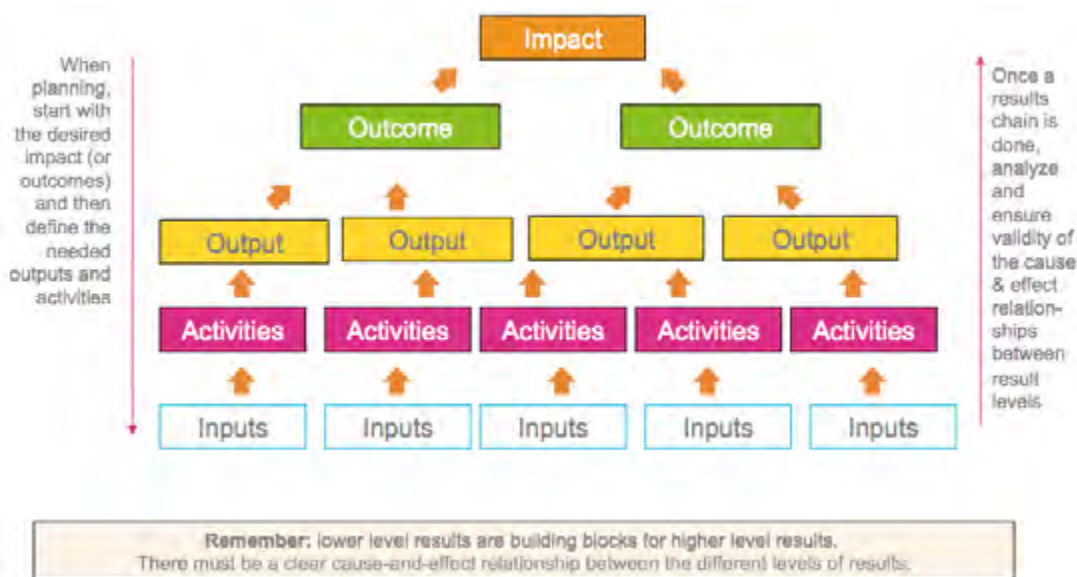
1. 'Low hanging fruit': high impact & actionable now
2. Requires negotiation/consensus building to seek alignment
3. Requires building UNICEF capacity; may duplicate others
4. Easy but won't contribute significantly to change for children

Do this assessment collectively, by using 'Dotmocracy' with sticky dots or coloured markers to select among various options in a participatory way.

Assign criteria for dots by colour (e.g., yellow for major national challenge/opportunity for children, blue for area of capacity and comparative advantage, and green for where there is alignment and support of state and other key actors). Give each participant a finite number of dots (votes) and ask them to post the dots on the wall by their preferred option.

Tally up the dots to determine which intervention areas fall in which of the above four categories. Be sure to engage in meaningful reflective dialogue to come to a final selection of areas most likely to *have pivotal or domino effects*.

Tool 10. Logic model



Tool 11. Funding requirements

Strategic Priority:				
Sub-Strategic Priority:				
Inputs	Input Costs	Core Activities	Outputs	Outcome
		Activity 1:		
Input 1:				
Input 2:				
Input 3:				
		Activity 2:		
Input 1:				
Input 2:				
Input 3:				
		Activity 3:		
Input 1:				
Input 2:				
Input 3:				
		Activity 4:		
Input 1:				
Input 2:				
Input 3:				

Tool 12. Estimation of project or programme financial resources

	INDICATIVE RESOURCE ENVELOPE			
UNICEF	FY 2015	FY 2016	FY 2017	FY 2018
IB				
RR				
OR				
Other				
TOTAL				

Tool 13. Monitoring plan

Expected Results	Indicators	Baseline	Targets	Sources	Methods	Frequency	Responsibility
(From the Logic Model)	(3 per Result, at least 1 quantitative, 1 qualitative)	(Value of indicator at start)	(Desired Value of indicator by a time)	(From whom the data will come)	(Means of verification of the indicator)	(How often the indicator will be measured)	(Who will collect & analyse the data)
Impact (Long term changes in conditions)							
Outcome (Medium term changes in performance)							
Output (Short term changes in capacities)							

Tool 14. Risk register

Expected Result (as per Logic Model)	Risks (top 7-12 for project)	Risk Level Likelihood: Impact:(L/M/H)		Mitigation Strategy
Impact:				
Outcomes:				
Outputs:				



Tool 15. Theory of Change narrative (in six steps)

1. Referring to your logic model, **identify your desired impact**.
2. **Map backwards** how your outputs and outcomes are contributing to the next level of results. Make explicit your theories about how change one level will lead to change at the next (e.g., training will lead to increased skills in policymaking which in turn will lead to improved policies and programmes, which will improve children’s lives).
3. **Identify your assumptions**. What else are you assuming is in place so that you can achieve your desired results? Refer back to your causality analysis to help you identify your assumptions (See step 4, Figure 4.). There are causes you are *not* addressing, and you may be assuming that someone else is addressing them, or that they do not need to be addressed for you to effect meaningful change through your programme. *Note: This step is particularly important in upstream policy work and should be aligned with your research agenda and/or partnership building strategy.*
4. **Identify the key interventions** that your initiative will undertake and the pathways of change they will enable.
5. **Highlight the indicators** you will use to assess the performance of your initiative.
6. **Write a narrative** as above to explain your ToC.

Tool 16. Results-based reporting format

Expected Output: Increased knowledge/awareness of Social Protection (SP) schemes for children 0-3 for parents/caregivers of community members.

Indicator: % of target population understanding SP schemes

Baseline: 10%

Target: 80%

Actual Output (mid-term report):

After 1.5 years of implementation, a mid-term review conducted indicates that 50% of targeted parents/caregivers and community members understood the SP schemes well. They could not only explain all entitlements, but also provide their children with the opportunity to access the SP services when needed. This impressive result was due to good Communication for Development (C4D) activities taking place, including development of a culturally and linguistically appropriate communication package for awareness raising. It was also due to capacity development for community authorities; information, education and communication (IEC) motivators; and parents/caregivers. For the remaining time, another 50% of the targeted group, whose awareness needs further strengthening, will be the main focus of the communication interventions.

Source: UNICEF Results-Based Management and Theory of Change training in Hanoi, Viet Nam, 20–24 April 2015. UNICEF EAPRO in cooperation with Mosaic.net International.



Annex 3. CRC article cards

<p>Article 1: Definition of a child.</p> <p>A child is recognized as a person under 18, unless national laws recognize the age of majority earlier.</p>	<p>Article 2: Non-discrimination.</p> <p>All rights apply to all children, and children shall be protected from all forms of discrimination.</p>
<p>Article 3: Best interests of the child.</p> <p>All actions concerning the child shall take full account of his or her best interests. The State shall provide the child with adequate care when parents, or others charged with that responsibility, fail to do so.</p>	<p>Article 4: Implementation of rights.</p> <p>The State must do all it can to implement the rights contained in the Convention. With regard to economic, social and cultural rights, it must undertake those measures to the maximum extent of its available resources and, where needed, in the framework of international cooperation.</p>
<p>Article 5: Parental guidance and the child's evolving capacities.</p> <p>The State must respect the rights and responsibilities of parents to provide guidance for the child that is appropriate to her or his evolving capacities.</p>	<p>Article 6: Survival and development.</p> <p>Every child has the right to life, and the State has an obligation to ensure the child's survival and development.</p>
<p>Article 7: Name and nationality.</p> <p>Each child has the right to a name and nationality, to know his or her parents and be cared for by them.</p>	<p>Article 8: Preservation of identity.</p> <p>The State has an obligation to protect, and if necessary, to re-establish the child's identity. This includes name, nationality and family ties.</p>
<p>Article 9: Separation from parents.</p> <p>The child has a right to live with his or her parents unless this is not in the child's best interest. The child has the right to maintain contact with both parents if separated from one or both.</p>	<p>Article 10: Family reunification.</p> <p>Children and their parents have the right to leave any country or enter their own to be reunited, and maintain the parent-child relationship.</p>
<p>Article 11: Illicit transfer and non-return.</p> <p>The State has an obligation to prevent and remedy the kidnapping or holding of children abroad by a parent or third party.</p>	<p>Article 12: The child's opinion.</p> <p>Children have the right to express their opinions freely, and have their opinions taken into account in matters that affect them.</p>



<p>Article 13: Freedom of expression.</p> <p>Children have the right to express their views, obtain information, and make ideas or information known, regardless of frontiers.</p>	<p>Article 14: Freedom of thought, conscience and religion.</p> <p>Children have the right to freedom of thought, conscience and religion, subject to appropriate parental guidance.</p>
<p>Article 15: Freedom of association.</p> <p>Children have a right to meet with others, and to join or form associations.</p>	<p>Article 16: Protection of privacy.</p> <p>Children have the right to protection from interference with privacy, family, home and correspondence, and from attacks on their character or reputation.</p>
<p>Article 17: Access to appropriate information.</p> <p>Children shall have access to information from national and international sources. The media shall encourage materials that are beneficial, and discourage those which are harmful to children.</p>	<p>Article 18: Parental responsibilities.</p> <p>Parents have joint responsibility for raising the child, and the State shall support them in this.</p>
<p>Article 19: Protection from abuse and neglect.</p> <p>Children shall be protected from abuse and neglect. States shall provide programs for the prevention of abuse and treatment of those who have suffered abuse.</p>	<p>Article 20: Protection of a child without family.</p> <p>Children without a family are entitled to special protection, and appropriate alternative family or institutional care, with regard for the child's cultural background.</p>
<p>Article 21: Adoption.</p> <p>Where adoption is allowed, it shall be carried out in the best interests of the child, under the supervision of competent authorities, with safeguards for the child.</p>	<p>Article 22: Refugee children.</p> <p>Children, who are refugees, or seeking refugee status, are entitled to special protection.</p>
<p>Article 23: Disabled children.</p> <p>Disabled children have the right to special care; education and training that will help them to enjoy a full and decent life with the greatest degree of self-reliance and social integration possible.</p>	<p>Article 24: Health and health services.</p> <p>Children have the right to the highest possible standard of health and access to health and medical services.</p>
<p>Article 25: Periodic review of placement.</p> <p>A child who is placed by the State for reasons of care, protection or treatment of his or her physical or mental health is entitled to have that placement evaluated regularly.</p>	<p>Article 26: Social security.</p> <p>Children have the right to benefit from social security including social insurance.</p>
<p>Article 27: Standard of living.</p> <p>Children have the right to a standard of living adequate for their physical, mental, spiritual, moral and social development. Parents have the primary responsibility to ensure that the child has an adequate standard of living. The State's duty is to ensure that this responsibility is fulfilled.</p>	<p>Article 28: Education.</p> <p>Children have the right to education. Primary education should be free and compulsory. Secondary education should be accessible to every child. Higher education should be available to all on the basis of capacity. School discipline shall be consistent with the child's rights and dignity.</p>



<p>Article 29: Aims of education.</p> <p>Education should develop the child's personality, talents, and mental and physical abilities. Children should be prepared for active participation in a free society, and learn to respect their own culture and that of others.</p>	<p>Article 30: Children of minorities or indigenous populations.</p> <p>Children have a right, if members of a minority group, to practice their own culture, religion and language.</p>
<p>Article 31: Leisure, recreation and cultural activities.</p> <p>Children have the right to rest, leisure, play and participation in cultural and artistic activities.</p>	<p>Article 32: Child labour.</p> <p>Children have the right to be protected from economic exploitation, from having to participate in work that threatens their health, education or development. The State shall set minimum ages for employment and regulate working conditions.</p>
<p>Article 33: Drug abuse.</p> <p>Children have the right to protection from the use of drugs, and from being involved in their production or distribution.</p>	<p>Article 34: Sexual exploitation.</p> <p>Children shall be protected from sexual exploitation and abuse, including prostitution and involvement in pornography.</p>
<p>Article 35: Sale, trafficking and abduction.</p> <p>The State shall take all appropriate measures to prevent the sale, trafficking and abduction of children.</p>	<p>Article 36: Other forms of exploitation.</p> <p>The child has the right to protection from all forms of exploitation prejudicial to any aspects of the child's welfare not covered in articles 32, 33, 34 and 35.</p>
<p>Article 37: Torture and deprivation of liberty.</p> <p>No child shall be subjected to torture, cruel treatment or punishment, unlawful arrest or deprivation of liberty. Capital punishment and life imprisonment are prohibited for offences committed by persons below 18 years of age. A child who is detained has the right to legal assistance and contact with the family.</p>	<p>Article 38: Armed conflicts.</p> <p>Children under age 15 shall have no direct part in armed conflict. Children who are affected by armed conflict are entitled to special protection and care.</p>
<p>Article 39: Rehabilitative care.</p> <p>Children who have experienced armed conflict; torture, neglect or exploitation shall receive appropriate treatment for their recovery and social reintegration.</p>	<p>Article 40: Administration of juvenile justice.</p> <p>Children in conflict with the law are entitled to legal guarantees and assistance, and treatment that promote their sense of dignity and aims to help them take a constructive role in society.</p>
<p>Article 41: Respect for higher standards.</p> <p>Wherever standards set in applicable national and international law relevant to the rights of the child are higher than those in this Convention, the higher standard shall always apply.</p>	<p>Articles 42-54: Implementation and entry into force.</p>



Annex 4. Templates for RBM analysis

Tool 2. Situation analysis

(Convention on the Rights of the Child Article Scan or Card Sort)

See also Annex 3. Convention Article deck of cards which you can print, laminate and use with stakeholders.

Convention Article	Children's Right	Relevant
1	Definition of a child	
2	Non-discrimination	
3	Best interests of the child	
4	Implementation of rights/general measures of implementation and investment of maximum resources	
5	Parental guidance and the child's evolving capacities	
6	Survival and development	
7	Name and nationality	
8	Preservation of identity	
9	Separation from parents	
10	Family reunification	
11	Illicit transfer and non-return	
12	The child's opinion	
13	Freedom of expression	
14	Freedom of thought, conscience and religion	
15	Freedom of association	
16	Protection of privacy	
17	Access to appropriate information	
18	Parental responsibilities	



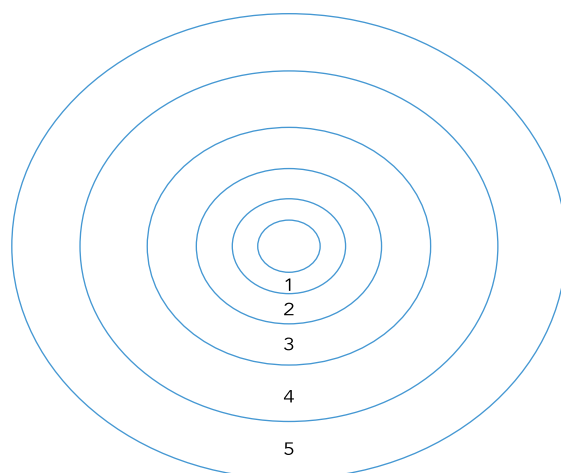
Convention Article	Children's Right	Relevant
19	Protection from abuse and neglect	
20	Protection of a child without family	
21	Adoption	
22	Refugee children	
23	Disabled children	
24	Health and health services	
25	Periodic review of placement	
26	Social security	
27	Standard of living	
28	Education	
29	Aims of education	
30	Children of minorities or indigenous populations	
31	Leisure, recreation and cultural activities	
32	Child labour	
33	Drug abuse	
34	Sexual exploitation	
35	Sale, trafficking and abduction	
36	Other forms of exploitation	
37	Torture and deprivation of liberty	
38	Armed conflicts	
39	Rehabilitative care	
40	Administration of juvenile justice	
41	Respect for higher standards	
42-54	Implementation and entry into force	

Key rights violation(s) or issue(s) you aim to address:



Tool 6. Stakeholder identification

6 (a) Concentric circles



1. e.g., family and community stakeholders:
2. e.g., municipal stakeholders:
3. e.g., district, departmental or sub-national stakeholders:
4. e.g., national stakeholders:
5. e.g., international stakeholders:

6 (b) Matrix of sectors and levels

Sector/Level	Civil society	Government	Private sector
International			
National Macro			
National Meso			
National Micro			



Tool 7. Stakeholder role and capacity analysis

7 (a) Duty-bearers or responsibility holders (supply side)

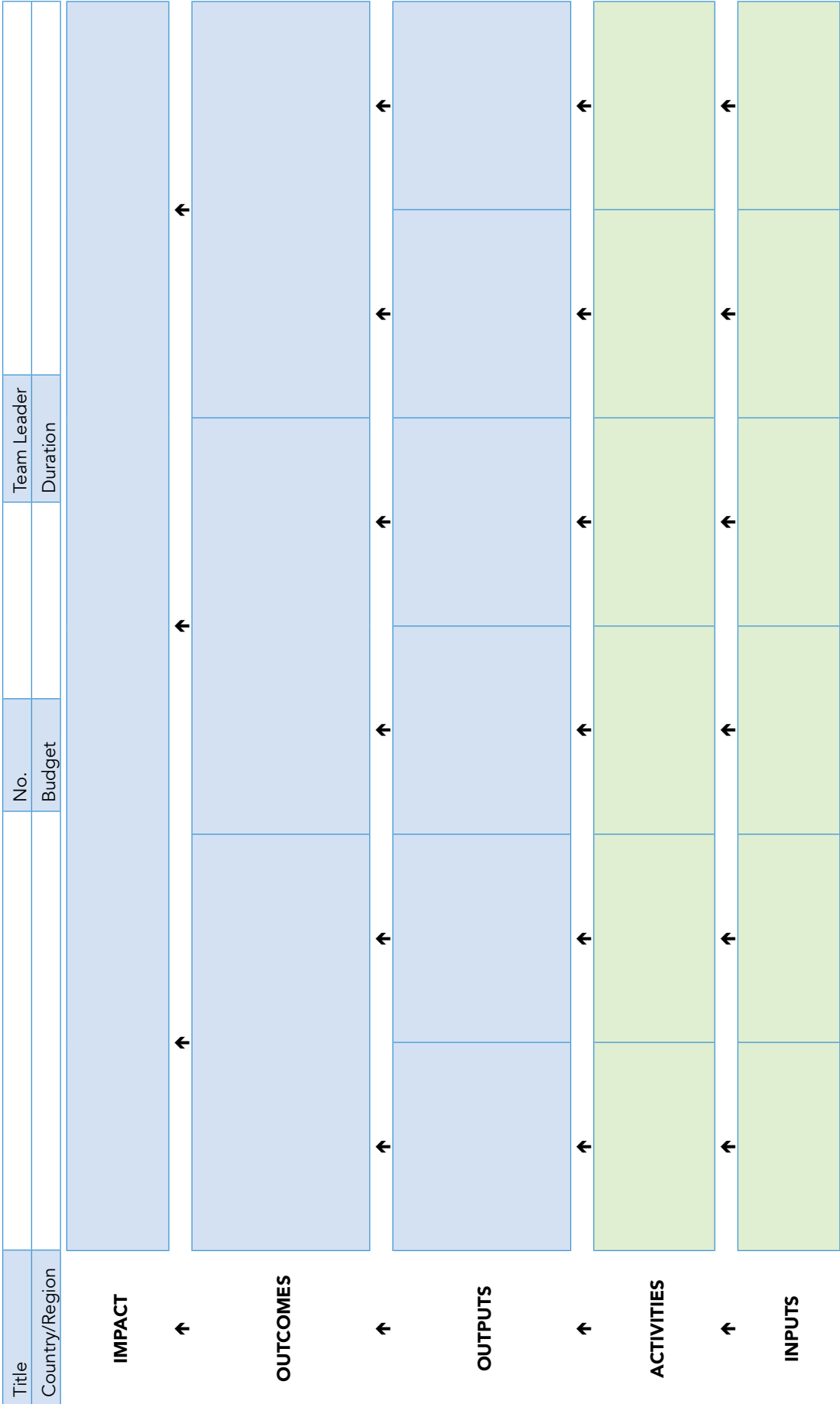
Stakeholder	Roles: Obligations/Responsibilities they should fulfill in order to address the issue	Changes in capacity (motivation, authority, resources) needed for duty bearer/responsibility holder to fulfill her or his roles

7 (b) Rights holders and/or their supporters (demand side)

Rights holder	Human right & role in claiming it	Changes in capacity (understanding, resources, risks) needed for the rights holder to claim his/her right



Annex 5. Tool 10. Logic model template



Notes:

1. The boxes in the template are there for illustration purposes only. You can adjust the number of boxes by using the 'split cell' and 'merge cell' functions to suit the needs of your investments/program. It is not the number of boxes that is important, but rather the logical link between result levels.
2. When preparing a logic model for an investment, make sure that the program level logic model is considered. This is because the investment falls under a particular sector of the program and the program logic model should inform the development of the investment level logic model. Developing an investment level logic model in this way will ensure a clear linkage between the investment and the program level results and assist in the roll up of results for larger monitoring and reporting requirements.

Annex 6. Tool 13. Monitoring plan template

MONITORING PLAN		Version:	Date:				
Expected Results	Indicators (3 per result, at least 1 quantitative, 1 qualitative)	Baseline (Value of indicator at outset)	Target (Desired value of indicator by x time)	Data Source (From whom the data will come)	Data Collection Method (Means of verification of the indicator)	Frequency (How often the indicator will be measured)	Responsibility (Who will collect and analyse the data)
Impact (Long-term changes in conditions)							
Outcome 1 (Medium-term changes in performance)	1.1						
	1.2						
	1.3						
Outcome 2	2.1						
	2.2						
	2.3						
Outcome 3 (Add more as needed)	3.1						
	3.2						
	3.3						



Expected Results	Indicators	Baseline	Target	Data Source	Data Collection Method	Frequency	Responsibility
(From the logic model)	(3 per result, at least 1 quantitative, 1 qualitative)	(Value of indicator at outset)	(Desired value of indicator by x time)	(From whom the data will come)	(Means of verification of the indicator)	(How often the indicator will be measured)	(Who will collect and analyse the data)
Output 1.1 (Short-term changes in capacities)	1.1.1						
	1.1.2						
	1.1.3						
Output 1.2	1.2.1						
	1.2.2						
	1.2.3						
Output 1.3	1.3.1						
	1.3.2						
	1.3.3						
Output 2.1	2.1.1						
	2.1.2						
	2.1.3						

Expected Results (From the logic model)	Indicators (3 per result, at least 1 quantitative, 1 qualitative)	Baseline (Value of indicator at outset)	Target (Desired value of indicator by x time)	Data Source (From whom the data will come)	Data Collection Method (Means of verification of the indicator)	Frequency (How often the indicator will be measured)	Responsibility (Who will collect and analyse the data)
Output 2.2	2.2.1						
	2.2.2						
	2.2.3						
Output 2.3	2.3.1						
	2.3.2						
	2.3.3						
Output 3.1	3.1.1						
	3.1.2						
	3.1.3						
Output 3.2	3.2.1						
	3.2.2						
	3.2.3						
Output 3.3	3.3.1						
	3.3.2						
	3.3.3						



Annex 7. Tool 14. Risk register template

Title		No.	Team Leader		
Country/Region/Institution		Budget	Duration		
Risk Definition	Risk Response	Logic Model Result Statement	Risk Level – Low/Medium/High (Add columns as needed)		
			Date 1	Date 2	Date 3
Operational Risks					
OP1 – HR			L = I =	L = I =	L = I =
OP2 – Perf. Mgt			L = I =	L = I =	L = I =
OP3 – Info. Systems			L = I =	L = I =	L = I =
Financial Risks					
FIN1 – Funding			L = I =	L = I =	L = I =
FIN2 - Fiduciary	... funds may not be used for their intended purposes, funds will not be properly accounted for, or services delivered will not be commensurate to funds transferred		L = I =	L = I =	L = I =
FIN3 - Instrument			L = I =	L = I =	L = I =

Risk Definition	Risk Response	Logic Model Result Statement	Risk Level – Low/Medium/High (Add columns as needed)		
Development Risks					
DEV1 - Strategic			L =	L =	L =
DEV2 – Socio-pol-econo, GE			L =	L =	L =
DEV3 – Inst. Capacity			L =	L =	L =
DEV4 - Modality			L =	L =	L =
DEV5 – Disasters, Enviro.			L =	L =	L =
Reputation Risks					
REP1 - Reputation			L =	L =	L =
Overall Risk Level					

Investment Risk Register -- Instructions

Purpose: A risk register is a record of information about identified risks (ISO 31000). It lists the risks, a summary of risk response strategies and the results of their analysis (risk level). The risk register should be continually updated and reviewed on an established schedule throughout the course of a project.

Risk refers to the effect of uncertainty on results (ISO 31000).

Step 1 – Risk Definition: Write down the key risks to the project. There should be at least two risks each for the categories Operational, Financial and Development Risks, and one risk in the category of Reputational Risk.

Step 2 – Level of Application: The various risks apply at different levels. Some risks like Op1: HR or Reputation apply to UNICEF. Others such as Fin2: Fiduciary or Dev3: Institutional Capacity apply to the project of the recipient. This is explained in the comment notes on the first column.

Step 3 – Risk Response: Give a brief summary of the current or additional risk response strategies that you will use to manage the risk or to prevent a risk event. Following these actions, the level of risk level can be expected to decrease.

Step 4 – Logic Model: Referring back to your logic model, indicate the result statement affected by the risk. If the entire project is affected by the risk, you may fill out the box with "Whole project".

Step 5 – Risk Level: For each risk selected, establish the current risk level. Evaluate the Likelihood and the Impact using the four-point scale identified below. Transport the result to a Risk Matrix. This will give you the risk level and colour.

Step 6 – Overall Risk: Once you have established the risk level for all your risks, determine the overall risk level for your project using Overall Project Risk Level tool.

Step 7 – Monitoring: In the real world of development, the risks will change constantly during the life of the project. As risks arise or disappear, change the corresponding risk definitions and risk level. Also, track the use and the effectiveness of the risk response strategies, and change the Risk Response column as necessary.

Over a regular monitoring schedule, re-rate the risk and add the colour under 'Date 2' and so on. Add columns as needed. Note that this should be done as the project goes along, and not just once at approval. Monitoring periods will vary according to the project, but a typical period is six months, and it should be at least annual.

Impact			
High (3)	Monitor Risks	Risk Mitigation Required	Risk Mitigation Required
Medium (2)	Acceptable Risks	Monitor Risks	Risk Mitigation Required
Low (1)	Acceptable Risks	Acceptable Risks	Monitor Risks
	Low (1)	Medium (2)	High (3)
	Likelihood		



Annex 8. Tool 16. Results-based reporting template

RESULTS-BASED REPORT

Expected Impact:		
Indicators:	Baseline:	Target:
Actual Impact:		
Expected Outcome:		
Indicators:	Baseline:	Target:
Actual Outcome:		
Expected Outcome:		
Indicators:	Baseline:	Target:
Actual Outcome:		
Expected Output:		
Indicators:	Baseline:	Target:
Actual Output:		



Annex 9. Checklists

10 Determinants Framework	Related problems (bottlenecks and barriers) or Assets Describe identified b&bs to address and/or assets (positive deviance to build on). Write 'none', where you think there are none.	Causes Describe the causes of issues identified
1. Social Norms Widely followed rules of behaviour		
2. Legislation/policy Adequacy of laws and policies		
3. Budget/expenditure Allocation and disbursement of required resources		
4. Management and Coordination Roles and accountability/coordination/partnership		
5. Availability of essential commodities/inputs/information to deliver a service or adopt a practice		
6. Access (physical/geographical) to adequately staffed services, facilities and information		
7. Financial access Direct or indirect cost for services		
8. Social and cultural practices and beliefs Individual or community beliefs, awareness, behaviours, practices and attitudes and initial use of services/good practices		
9. Continuity of use Completion/continuity in service/practice		
10. Quality Either quality of service (adhering to international or national standards) Or Quality of practice (adhering to recommended practices – example exclusively breastfeed for 6 months)		

✓ Checklist for formulating sound results

Specific	<input type="checkbox"/>
Does the result statement include a directional verb and tell you Who? What? Where?	<input type="checkbox"/>
Simply worded	<input type="checkbox"/>
Is the statement simply worded and does it contain one idea?	<input type="checkbox"/>
Measurable	<input type="checkbox"/>
Can the result be measured?	<input type="checkbox"/>
Achievable	<input type="checkbox"/>
Is the result realistic and achievable?	<input type="checkbox"/>
Relevant	<input type="checkbox"/>
Is the result relevant?	<input type="checkbox"/>
Inclusive	<input type="checkbox"/>
Was the result developed in a participatory fashion? Is the result gender-sensitive and/or does it advance gender equality?	<input type="checkbox"/>

Indicator selection checklist

1. Measure the expected results <i>(accountability: enjoyment of rights or compliance with obligations)</i>	<input type="checkbox"/>
2. Show trends over time <i>(progressive realization, non-retrogression)</i>	<input type="checkbox"/>
3. Present appropriately disaggregated information <i>(non-discrimination and universality)</i>	<input type="checkbox"/>
4. To the extent possible use available information	<input type="checkbox"/>
5. Be cost effective and be feasible to collect and analyse	<input type="checkbox"/>
6. Need to measure positive as well as potential negative directions <i>(all indicators must be neutral)</i>	<input type="checkbox"/>
7. Be developed in a participatory fashion	<input type="checkbox"/>
8. Have two to three indicators per result: at least one qualitative and one quantitative	<input type="checkbox"/>
9. One of the indicators per result measures sex-disaggregated data and/or advances in gender equality.	<input type="checkbox"/>

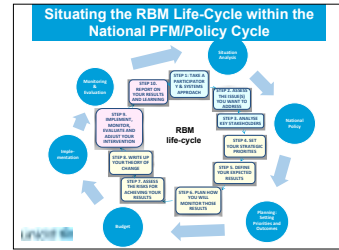
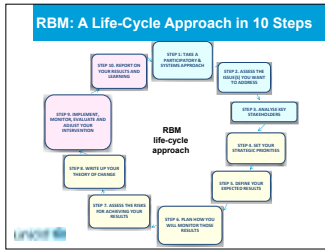


Annex 10. Essential RBM tools PowerPoint

16 Tools for Programming for Policy Results

Overview of the conceptual framework of Results-Based Management and Theory of Change for Social Institutions and Policy

A Reference Guide



STAGE 1: ANALYSIS

STEP 1: TAKE A PARTICIPATORY & SYSTEMS APPROACH

STEP 2: ASSESS THE ISSUES YOU WANT TO ADDRESS

STAGE 2: PLANNING

STEP 3: SET YOUR STRATEGIC PRIORITIES

STEP 4: DEVELOP YOUR STRATEGY

STEP 5: SET YOUR STRATEGIC PRIORITIES

STEP 6: DEVELOP YOUR STRATEGY

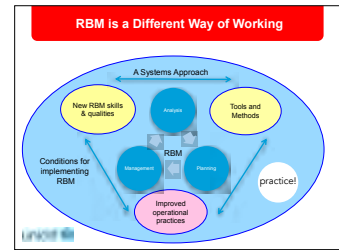
STEP 7: SET YOUR STRATEGIC PRIORITIES

STEP 8: DEVELOP YOUR STRATEGY

STEP 9: SET YOUR STRATEGIC PRIORITIES

STEP 10: DEVELOP YOUR STRATEGY

Step 1. Take a participatory and systems approach



Tool 1. Reflection guide for a participatory and systems approach

- Are we putting the system into the room, bringing together multiple actors who can and will work on achieving the desired changes?
- Are we including diverse perspectives, especially the disadvantaged children and communities who understand the issues from the inside?
- Are we creating a space for people to listen deeply with open minds, hearts and wills to each other and to the future that wants to emerge?
- Are we emphasizing reflective and generative dialogue over expert presentations and debate?
- Are we surfacing assumptions and exploring rationales: "Why is this issue important? Why do we think this potential intervention will work?"
- Are we using facilitation methods that allow for individual input and collective analysis (e.g. brainstorming on cards and dot voting or "dotmocracy")?
- Are we trusting the people and the process?

Step 2. Assess the policy issue(s) you want to address

Tool 2. Situation Analysis: Convention Article Scan / Card Sort

Print and laminate a deck of cards, with a summary of one Convention article on each card (see Annex 3).

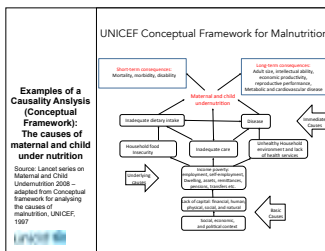
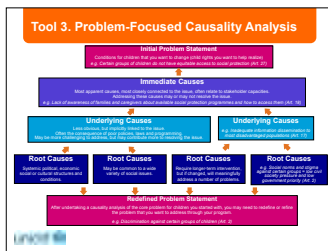
With key stakeholders (6-8 stakeholders in a group) take 15-30 minutes to sort through the deck and identify which of the articles most need to be addressed in your country and for which particular groups of children. If a key issue has already been chosen (such as Social Inclusion with Poverty), then identify the articles most relevant to that issue. Refer to the full text of the Convention as needed.

Record your findings on the template summary sheet provided in Annex 4, Tool 1.

Variation:

Scan the most recent Concluding Observations of the UN Committee on the Rights of the Child on your country and identify the most relevant articles and recommendations. Take advantage of the expert situation analysis the Committee has already carried out.

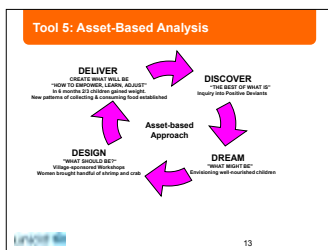
End Product: Write a problem statement that identifies the conditions for children you want to help change (i.e. the child rights you want to help realize)



Tool 4. 10-determinant framework of causality: A checklist

Issue (manifestation of child rights deprivation, either shortfall or disparity):

10 Determinant Framework	Checklist	Notes
1. Issue	Is the issue clearly defined and measurable?	
2. Rights	Which rights are affected?	
3. Policy	Are there any relevant policies or laws?	
4. Institutional	Are there any relevant institutions or organizations?	
5. Financial	Are there any relevant financial resources?	
6. Human	Are there any relevant human resources?	
7. Information	Are there any relevant information resources?	
8. Social	Are there any relevant social norms or values?	
9. Political	Are there any relevant political factors?	
10. Environmental	Are there any relevant environmental factors?	



Example of an asset-based analysis

Who are the "nutritionally fittest"?

WHY? WHY?

Supplementing nutrition with locally-based food: crab & shrimp

Vitamin rich protein: sweet potato leaves

Feeding Child Frequently

DESIGN: Village sponsored workshops. Mothers brought locally available food items. Save the Children financed the protein.

Impact: Led to new patterns of collecting and consuming food, new childcare practices increased health of child. Within 6 months 2/3 children gained weight over 24 months 50% graduated to acceptable nutritional status. Now a national program.

Step 3. Analyse key stakeholders



Stakeholder Identification: Tool 6 (b)

Matrix of Sectors and Levels	Sector		
	Civil Society	State	Private Sector
International	International networks and coalitions	Int'l national groups and organizations	International companies
National Macro	National networks and coalitions	National government departments, agencies or institutions	National chambers of commerce, large-scale industries
National Meso	Individual NGOs, NGOs, universities, etc.	National and regional government, public institutions	Associations, business associations, media
National Micro	Community-based organizations, families, children	Municipal and regional governments	Individual entrepreneurs, employers

(see Template in Annex 4)

Tool 7. Stakeholder Role & Capacity Analysis

Duty-Bearers or Responsibility Holders	Rights-Holders and/or their supporters
<p>Role (Obligations/responsibilities they should fulfill in order to address the issue)</p> <p>Changes in capacity needed for the duty-bearer to fulfill their role</p> <p>Capacity to: <ul style="list-style-type: none"> Advocate with relevant ministries for approval Capacity building (Ministry of Labor, Social Workers) Coordinate with relevant agencies Monitoring/reporting </p>	<p>Role (What they can do to claim the relevant rights)</p> <p>Changes in capacity needed to play those roles</p> <p>Capacity to: <ul style="list-style-type: none"> Claim children's rights to social protection Understand of social protection schemes and how to access them Share local practices with stakeholders to influence policy enforcement, revision, and development Knowledge of children's rights Understanding of social protection schemes and how to access them Consultation by stakeholders to ensure relevance and appropriateness of social protection policy and services </p>

Tool 8. Policy effectiveness and public financial management, capacity checklist

CHECKLIST	WRITE DOWN YOUR CONCLUSIONS
➤ What is your adjusted problem statement?	(From Step 4, the underlying or basic cause you want to address)
➤ What public programmes exist to specifically address this issue?	(Note also outline, sometimes at subnational level, the picture as different and for a reason)
➤ What other public programmes are there which may have important indirect effects?	(E.g., WASH or social protection vs nutrition-sensitive rather than nutrition-specific programmes)
➤ What do we know about the financing and efficiency of these programmes?	(Note: addressing data gaps and issues around budget classification or transparency could be projected here or separately)
➤ What do we know about the effectiveness of these programmes?	(E.g., through PERs, Es or similar quantitative and qualitative assessments)
➤ What adjustment or new programme could be realistically proposed?	(Issues to consider include fiscal space, absorption/implementation capacity, etc.)
➤ Where are the best entry points and how to leverage change in financing?	(Consider your full stakeholder analysis when answering this question: often action from a willing partner (public or private) will be more effective than directly from UNICEF)

Step 4. Establishing strategic priorities

Selecting Causes to Address

Tool 9: Assessment of Intervention Areas

Step 5. Define your expected results

Crafting your Results Statement

Verb Indicating Change	What Changes	Who Changes	Additional Specificity, when feasible
Examples: Increased, Decreased, Improved, Reduced, Amplified, Established, Lower, Increased	Examples: Skills, Knowledge, Attitudes, Behaviors, Practices, Conditions	Examples: Individuals, Communities, Governments, Institutions	Examples: 100,000 girls, 100,000 girls, 100,000 girls, 100,000 girls, 100,000 girls

Source: Adapted from: Guidance Note for External Partners (1), 8 August 2016, Bill and Melinda Gates Foundation.

Checklist for Formulating Sound Results

Question	Yes	No
Does the result statement include a directional verb and tell you 'What?' 'Where?' 'When?' 'How?' 'Why?' 'By whom?' 'With what?' 'Through what?' 'By whom?' 'With what?' 'Through what?'	<input type="checkbox"/>	<input type="checkbox"/>
Is the statement simple and clear and does it contain only one result?	<input type="checkbox"/>	<input type="checkbox"/>
Is the result measurable?	<input type="checkbox"/>	<input type="checkbox"/>
Can the result be measured?	<input type="checkbox"/>	<input type="checkbox"/>
Is the result realistic and achievable?	<input type="checkbox"/>	<input type="checkbox"/>
Is the result relevant?	<input type="checkbox"/>	<input type="checkbox"/>
Is the result innovative?	<input type="checkbox"/>	<input type="checkbox"/>
Has the result developed in a participatory fashion? Is the result gender-sensitive and/or advance gender equality?	<input type="checkbox"/>	<input type="checkbox"/>

Levels of Results & Types of Changes

The Results Chain

From causal chain to results chain

Tool 10. Logic Model

Tool 11. Funding requirements

Strategic Priority	Sub-Strategic Priority	Key Activities	Outcomes	Outcomes
Goal 1	Activity 1	Organization of a training on water tariffs		
Goal 2	Activity 2			
Goal 3	Activity 3			
Goal 4	Activity 4			
Goal 5	Activity 5			
Goal 6	Activity 6			
Goal 7	Activity 7			
Goal 8	Activity 8			
Goal 9	Activity 9			
Goal 10	Activity 10			

Tool 12. Estimation of project or programme financial resources

What is an indicator?

- To regularly analyze trends to track progress towards a desired result for the future
- A baseline indicator measures a level of performance against a standard of care
- UNICEF often uses indicators to monitor performance for 2-3 years, although it is possible to use indicators for longer periods

UNICEF	FY 2015	FY 2016	FY 2017	FY 2018
Indicator				
Value				
Total				

Example of a Logic Model: Public Finance Management Programme in Mongolia

Step 6. Plan how you will monitor those results

The Performance Dashboard

Source: Schirmer, Mark. The Art of the Performance Dashboard. December 2016.

Tool 13. Monitoring Plan

Indicator	Definition	Source	Frequency	Responsible	Method	Frequency	Reporting
Impact	Number of children in target population	UNICEF	Quarterly	UNICEF	Surveys	Quarterly	UNICEF
Outcome	Number of children receiving services	UNICEF	Quarterly	UNICEF	Surveys	Quarterly	UNICEF
Output	Number of children receiving services	UNICEF	Quarterly	UNICEF	Surveys	Quarterly	UNICEF

(see Template in Annex 6)

Some Examples of Indicators

Quantitative Indicators	Qualitative Indicators
<ul style="list-style-type: none"> Number of policies, plans and programmes in social sectors informed by the evidence/knowledge generated by UNICEF support Execution rate of social sector budget Proportion of provincial and district investment plans developed based on participatory needs assessments at community level in targeted provinces 	<ul style="list-style-type: none"> Perception of extent to which National Strategic Development Plan prioritizes social protection with a focus on the most vulnerable children Perceptions of quality (assessed along a scale) of national MSE systems for social protection programmes for vulnerable children Degree to which national social protection programming targets the most vulnerable children

Selecting indicators at each of the results levels

Results Level	Indicators
Impact	What measures can verify the change in the lives of children?
Outcome	How will you measure a change in the behaviour of duty-bearers/responsibility holders in carrying out their obligations and responsibilities? Of rights-holders in claiming their rights?
Output	How will you know whether there is a change in the capacity of duty-bearers, responsibility holders or rights-holders?

Results and Indicators Example (1)

Results and Indicators Example (2)

Indicator Selection Checklist

1. Measure the expected results (accountability, engagement of citizens or compliance with obligations)	10
2. Show trends over time (progressive escalation, non-escalation)	10
3. Present appropriately disaggregated information (non-escalation after escalation)	10
4. To the extent possible, use available information	10
5. Be cost-effective and be feasible to collect and analyse	10
6. Need to measure positive as well as potential negative directions (all indicators must be results)	10
7. Be developed in a participatory fashion	10
8. Have two to three indicators per result: at least one qualitative and one quantitative	10
9. One of the indicators per result measures non-disaggregated data and its relevance in gender equality	10

Example of a Monitoring Plan

Activity	Indicator	Baseline	Target	Frequency	Responsible	Reporting
...

Step 7. Assess the risks to achieving your results

Categories of Risk

Operational Risk <ul style="list-style-type: none"> Team competencies Personal Security Management systems 	Development Risks <ul style="list-style-type: none"> Policy environment Local ownership/commitment
Financial Risks <ul style="list-style-type: none"> Financial controls Cash flow Procurement 	Reputational Risks <ul style="list-style-type: none"> Stakeholder perceptions Values/ethics

Assessing Risks

Impact	Likelihood		
	Low (1%)	Medium (10%)	High (10%)
High (10%)	Monitor Risks	Risk Mitigation Required	Risk Mitigation Required
Medium (10%)	Acceptable Risks	Monitor Risks	Risk Mitigation Required
Low (1%)	Acceptable Risks	Acceptable Risks	Monitor Risks

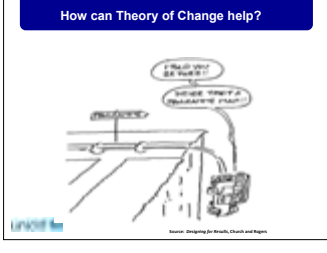
Tool 14: Risk Register

Project Title: _____ Project Number: _____

Expected Result (as per Logic Model)	Risks (top 7-12 for project)	Risk Level (Likelihood, Impact, etc.)	Mitigation Strategy
Results:			
Outcomes:			
Outputs:			

(see Template in Annex 7)

Step 8. Write up your Theory of Change



- ### Tool 15: Theory of Change Narrative
- Referring to your logic model, identify your desired impact.
 - Map backwards how your outputs and outcomes are contributing to the next level of results. Make explicit your theories about how change one level will lead to change at the next (e.g. training will lead to increased skills in policy-making which in turn will lead to improved policies and programmes, which will improve children's lives).
 - Identify your assumptions. What else are you assuming is in place so that you can achieve your desired results? Refer back to your causality analysis to help you identify your assumptions (See step 4, Figure 5). There are causes you are not addressing, and you may be assuming that someone else is addressing them, or that they do not need to be addressed for you to effect meaningful change through your programme.
 - Identify the key interventions that your initiative will undertake and the pathways of change they will enable.
 - Highlight the indicators you will use to assess the performance of your initiative.
 - Write a narrative as above to explain your theory of change.
- 45

Example of a ToC Narrative (1)

In 2015, UNICEF and Government of Mongolia will work together to improve health sector financing methodologies in order to achieve better outcome for the most vulnerable children. This result will be reached by improving programme based budgeting which will lead to increased budget for primary health care and maternal and child health care programmes. An increased budget for primary health care will improve access and coverage of high impact and low cost MCH interventions.

By choosing four main pathways of improving planning and budgeting of health sector, strengthening capacity of health workers, enhancing collaboration between Ministry of Health and Ministry of Finance and promoting the internal coordination within the Ministry of Health, we aim to achieve the most efficient use of allocated resources.

We assume that the legal environment for programme based budgeting is in place and the political commitment is maintained for more efficient health budget allocations in favour of primary health care.

Taking into consideration UNICEF's comparative advantage in promoting child rights and equity focus, we will bring technical expertise in programme based budgeting, support south-south exchange and equip relevant government officials with necessary PBS tools.

Our result will be demonstrated by at least one-third of the total health budget to be allocated to the primary health care followed by satisfaction of health workers in budget adequacy.

Source: RBM & ToC workshop in Mongolia, April 14-17, 2015

Example of a ToC Narrative (2)

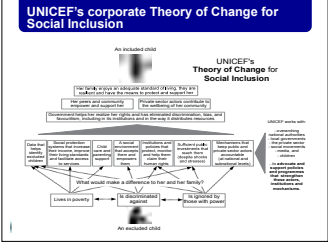
As part of the 2017-2021 UNICEF Country Programme, UNICEF's Social Policy and Governance Programme has been supporting the Government of Viet Nam to develop a child-sensitive Social Economic Development Plan (SEDP) at the national and sub-national levels. The key identified impact is reduced multi-dimensional child poverty by 2020 which can be achieved through 3 major outcomes: 1) improved prioritization of children's issues in the SEDP and 2) effectively and efficiently allocated and utilized public financial resources.

The key outputs contributing to the above mentioned outcomes include generation of analysis and evidence on children's priorities; increased public awareness and dialogues on child-sensitive SEDP and public finance for children; increased institutional commitment and motivation of policy makers and National Assembly members on children's issues.

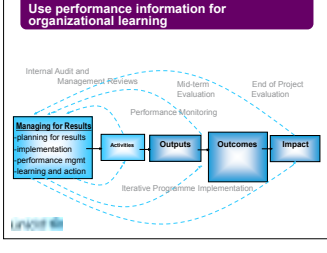
This ToC is based on the assumption that policy makers remain committed to the realization of child rights and priorities. Another assumption is that the Government continues to improve their transparency and accountability in public finance management.

Taking into consideration good practices at the sub-national level, UNICEF will conduct analysis and provide evidence on the situation of children rights as well as on budget allocation and utilization. In addition, UNICEF will support the development of child-sensitive SEDP guidelines and facilitate dialogues and consultation with various stakeholders for the adoption and application of the guidelines. UNICEF's support will also focus on strengthening the capacity of various stakeholders in child-sensitive SEDP at national and sub-national levels to ensure their ownership.

Source: RBM & ToC workshop in Viet Nam, April 21-24, 2015



Step 9. Implement, monitor, evaluate and adjust your programme



Step 10. Report on your results and learning

Tool 16: Results-based Reporting Format

Expected Outcome:		
Indicators:	Baseline:	Target:
Actual Outcome:		
Expected Output:		
Indicators:	Baseline:	Target:
Actual Output:		

Example of a results-based report

Activity	Output	Outcome	Impact
...

These slides are downloadable at UNICEF EAPRO Website. See link http://www.unicef.org/eapro/12205_25007.html





Endnotes

¹ Angela Bester, Results-Based Management in the United Nations Development System: Progress and challenges (July 2012).

² See <www.ohchr.org/Documents/ProfessionalInterest/crc.pdf> for the full text of the Convention on the Rights of the Child.

³ While the United Nations and Organisation for Economic Co-operation and Development (OECD) have adopted the same RBM terminology with impact, outcomes and outputs, this may vary by donor.

⁴ See Schacter, Mark. 'The Art of the Performance Dashboard', December 2010. <http://media.wix.com/ugd/dadb01_67024a8b0ac5243ee0d4e8f668ca1e4a.pdf>

⁵ PRA and PLA are "approaches employed by development practitioners to enable effective interaction and planning with communities. The approaches are based on the philosophy of bottom-up participation and empowerment and recognise that if local people participate in the development processes of planning, implementation and monitoring, they can progressively transform their own lives and surrounding environment." Methods include: sorting, ranking, mapping, timelines, seasonal calendars, force-field analysis. Source: Bottomley, Ruth. *PRA and PLA Approaches: A Case Study with examples of participatory approaches employed by MAG and CMAC in Cambodia*. <www.gjchd.org/fileadmin/pdf/publications/Socio-eco-Survey-2012/Socio-eco-Survey-2012-Bottomley-PRA-PLA-Approaches.pdf>



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The views expressed in this publication are solely those of the authors and do not necessarily reflect the views of the United Nations Children's Fund (UNICEF).



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This publication including its templates and PowerPoints could be downloaded at
http://www.unicef.org/eapro/12205_25007.html

UNICEF East Asia and Pacific Regional Office
19 Phra Atit Road
Bangkok 10200 Thailand
Tel: +(66 2) 356-9499 Fax: +(66 2) 280-3563
E-mail: eapro@unicef.org
www.unicef.org/eapro