



# Revised Results Framework and Supplementary Programme Note on the Theory of Change

Executive Board Informal  
20 May 2014

# Outline

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- Process
- Theory of change
- Results framework

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# Process

## QCPR recommendation (para. 170)

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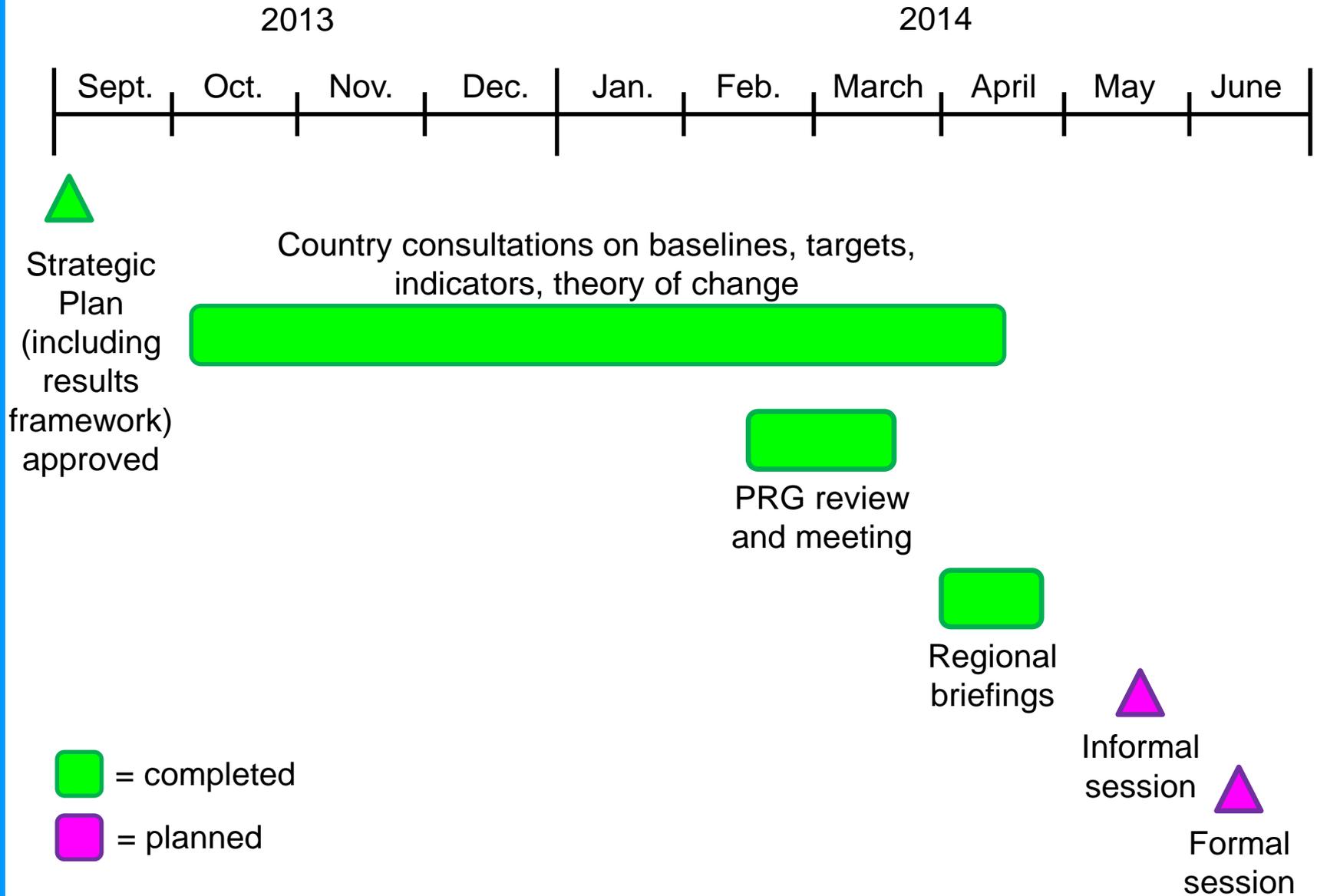
- ...promote development of clear and robust results frameworks demonstrating complete results chain at output, outcome and impact levels, and
- include measurable indicators with baselines, milestones and targets for monitoring...
- ...consult Member States during production of results frameworks of Strategic Plans.

# Executive Board Decision 2013/16

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1. *Approves* the UNICEF strategic plan, 2014-2017, as contained in documents E/ICEF/2013/21 and E/ICEF/2013/21/Add.1 [*results framework*]...
7. *Requests* UNICEF to implement the strategic plan while developing and refining complementary, publicly available documentation in consultation with Member States and other stakeholders, including:
  - (a) **Refinement of indicators and development of baselines, milestones and targets** as contained in document E/ICEF/2013/21/Add.1, by the annual session of 2014
  - (b) **Refinement of the Supplementary Programme Note outlining the theory of change**, by the annual session of 2014

# Timeline



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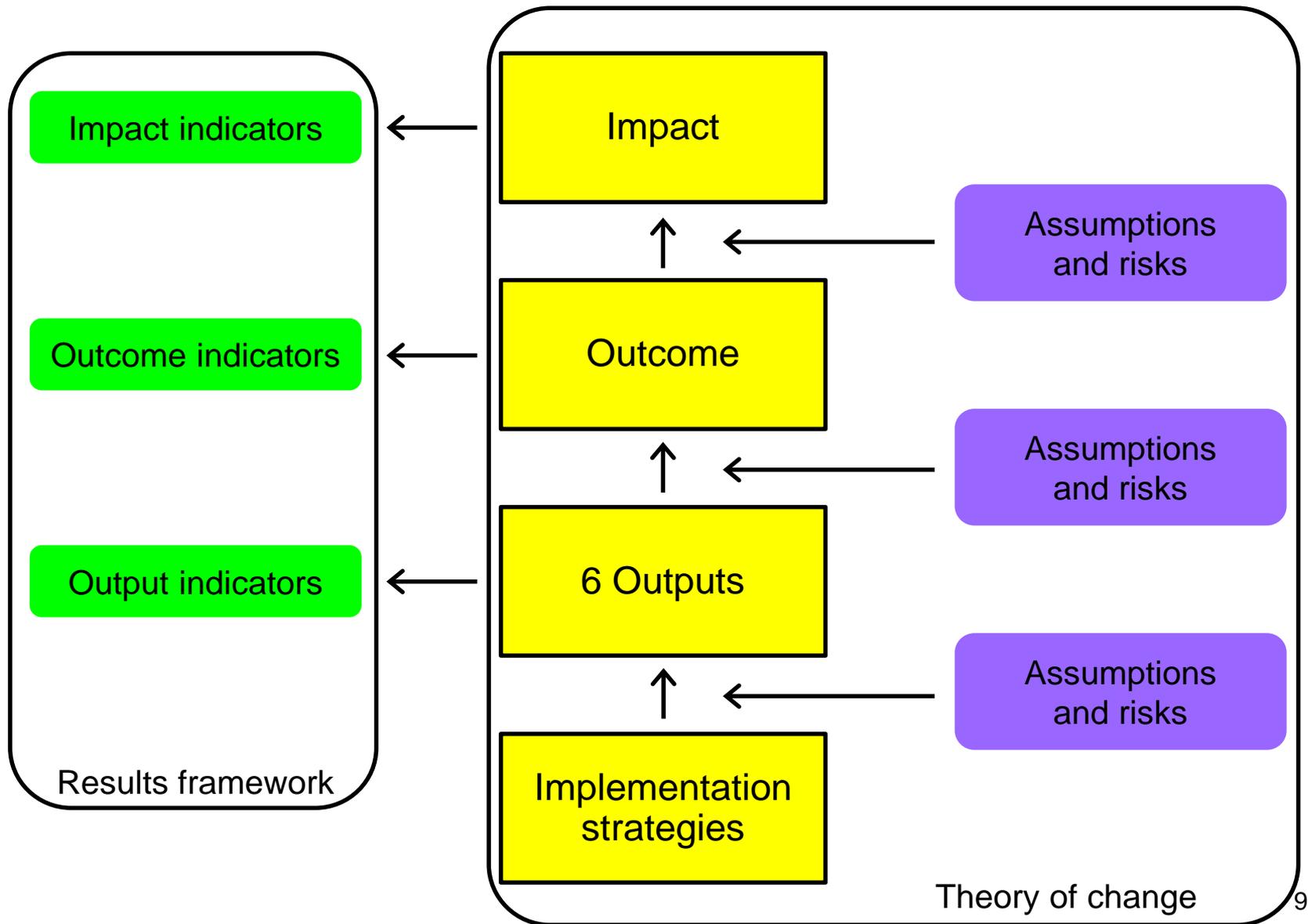
# Theory of change

# Purpose

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- Key elements:
  - **Why** UNICEF is focusing on certain areas and approaches
  - **How** UNICEF will achieve results set out in results framework (causal pathways)
  - Assumptions, risks and mitigation measures
- Key caveats:
  - UNICEF is a decentralized organization working in partnership with others in 152 countries, and so programming decisions must be context-specific and nationally-led.
  - Theory of change provides the ‘global story’ and serves as a foundation for programme guidance
  - Living document that will be updated periodically to reflect new evidence and programmatic approaches

# Schematic of theory of change and results framework



# Key principles

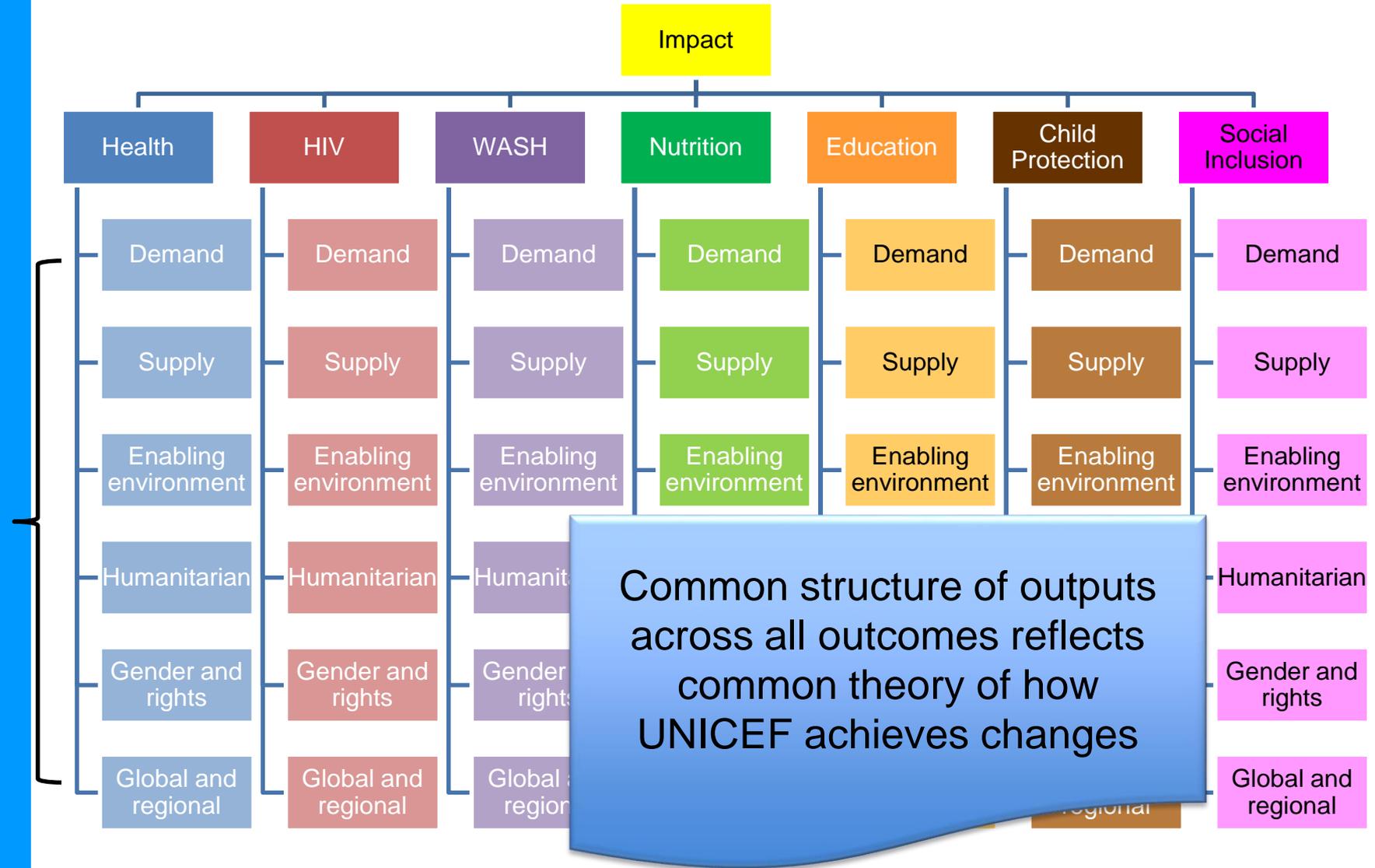
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- Build on organization's comparative advantages to support the realization of the rights of children
  - Normative mandate
  - Proven capacity in multiple sectors
  - Dual development and humanitarian mandate
  - Large-scale field presence
  - Capacity to engage concurrently globally, regionally, and nationally
- Guide implementation of the equity strategy
- Leverage partnerships
- Build on evidence (or generate evidence as needed)

# Strategic Plan structure

Outcomes

Outputs



# Outputs (1/2)

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- Knowledge, behaviour change and participation
  - Enhanced support for children, families and communities to promote knowledge, behaviour change, demand for services and opportunities for participation
- Availability and access to services
  - Increased national capacity to ensure availability of and access to services and to strengthen systems
- National policies, laws and budgets
  - Strengthened political commitment and national capacity to legislate, plan and budget for children

## Outputs (2/2)

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- Humanitarian action
  - Increased country capacity and delivery of services to protect and provide for children in humanitarian settings
- Gender equality and rights
  - Increased capacity of governments and partners, as duty-bearers, to identify and respond to specific challenges related to the protection and promotion of the rights of children and gender equality
- Global and regional results
  - Enhanced enabling environment at global and regional levels to realize child rights

## Key additional issue: programme areas

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- Outcome areas are broad, so UNICEF prioritises key topics within each for 2014-2017, which are the programme areas
- Example from education: early learning, equity, learning outcomes, and education in emergencies
- Each outcome contains the rationale for focusing on each programme area

# Humanitarian response and gender equality

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- Humanitarian action:
  - Strengthening involvement in systematic reduction of vulnerability to disaster and conflicts through risk-informed country programmes that help build resilience
  - Strengthening linkages between humanitarian and development programming
- Gender equality
  - Gender Action Plan, 2014-2017
  - Normative principle guiding all work
  - Mainstreaming

# Assumptions, risks and mitigation measures (1/2)

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- Assumptions:
  - Unstated or implicit beliefs or understandings that underlie the transitions between different levels in the theory
  - Nature of the assumptions depends on level of transition:
    - From outcome to impact: external factors only
    - From activities UNICEF carries out to outputs: both internal and external
  - Considered highly likely to occur as predicted (based on UNICEF's experience and knowledge)
- Risks:
  - Factors that jeopardize each assumption
- Mitigation measures:
  - Key steps UNICEF is taking to prepare for and address risks

## Assumptions, risks and mitigation measures (2/2)

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- Presentational challenge:
  - Document contains three sets of assumptions, risks, and mitigation measures (one for each transition), and two types of each (cross-cutting and specific to individual outcomes)
- Caveat:
  - UNICEF has an enterprise risk management system and theory of change is not designed to replace it

# Annex 1: Implementation strategies

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- Description of how we work:
  - Capacity development
  - Evidence generation, policy dialogue and advocacy
  - Partnerships
  - South-South and triangular cooperation
  - Identification and promotion of innovation
  - Support to integration and cross-sectoral linkages
  - Service delivery

# Annex 2: Monitoring, evaluation, reporting

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- Description of UNICEF's approach
- Progress and challenges
- Status of system

## Improvements due to PRG and regional consultations

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- Increased emphasis on assumptions and risks (both internal and external), and included mitigation measures
- Highlighted the approach to evidence, including research priorities for 2014-2017
- Restructured to simplify and highlight schematics
- Added details to clarify some key issues

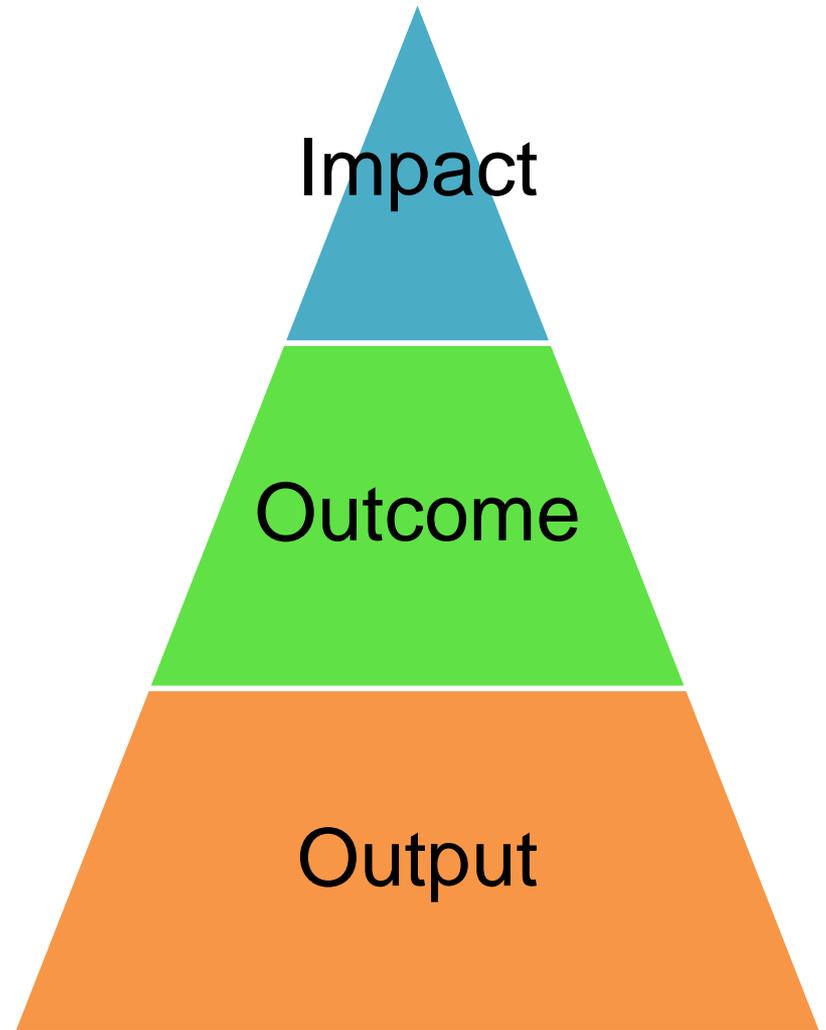
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# Results framework

# Definitions

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- Terms used in manner consistent with QCPR
- Shared approach with other UN organizations
- Association of results with UNICEF's work stronger at lower level of results chain



# Impact indicators

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- Indicators, baselines, and targets are all based on global commitments:
  - Baselines are latest global inter-agency estimates that are often joint or agreed
  - Targets are for whichever year has been agreed in global process (e.g., 2035 for under-five mortality, based on global commitment under A Promise Renewed), because UNICEF cannot arbitrarily set targets for 2017 just to correspond to the SP
- Mid-Term Review will be used to update based on agreement on post-2015 goals and indicators

# Outcome indicators

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- Shared and where possible reflect globally agreed targets
  - Disaggregation (e.g., female/male, rural/urban, by wealth quintile) where feasible (and advocacy for improving collection of disaggregated data)
- Mostly “number of countries” achieving the outcome or reaching a certain threshold, rather than “number of people”
  - Designed to avoid overemphasis on populous countries and ensure that every country counts, including least-developed countries and countries with the worst disparities
- Focus is on areas where UNICEF has a major role in mobilizing partnerships

# Output indicators

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- Based on input from relevant programme countries through UNICEF offices
  - Disaggregation (e.g., female/male, rural/urban, by wealth quintile) where feasible (and advocacy for improving collection of disaggregated data)
- Mostly “number of countries...” type indicators
- Targets reflect the universe of countries working on a given indicator (e.g., far fewer countries working on female genital mutilation/cutting than on primary education)

# Key issues

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- Integrating gender:
  - Impact indicators: explicit in 4 out of 18 indicators and others sex-disaggregated where feasible
  - Outcome indicators: 8 out of 44 indicators explicitly around girls/women, and others sex-disaggregated where feasible
  - Output indicators: output indicators in each outcome on gender/human rights, but also across other outputs (both specifically addressing girls/women and sex-disaggregated)
  - Gender Action Plan is fully aligned with the Strategic Plan, and contains a subset of the indicators in the results framework
- Humanitarian indicators: different process, with targets set annually in *Humanitarian Action for Children*
- Challenges continue around indicators on demand, equity, empowerment and accountability at community levels

## Key changes, including based on feedback

- Addition of baselines and targets (as a result of an extensive consultative process)
- Strengthening of indicators related to gender equality
- Improvement in measurability of indicators
- Significant streamlining of number of indicators (next slide)

# Number of indicators

(figures in parenthesis indicate the numbers in Sept 2013 version)

Type	Health	HIV/AIDS	WASH	Nutrition	Education	Child protection	Social inclusion	Total
Impact	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>3</b>	<b>3</b>	<b>16</b>
	(3)	(3)	(3)	(2)	(3)	(2)	(2)	(18)
Outcome	<b>9</b>	<b>5</b>	<b>6</b>	<b>5</b>	<b>6</b>	<b>8</b>	<b>5</b>	<b>44</b>
	(10)	(5)	(9)	(7)	(7)	(10)	(7)	(55)
Output	<b>18</b>	<b>15</b>	<b>14</b>	<b>12</b>	<b>17</b>	<b>19</b>	<b>12</b>	<b>107</b>
	(23)	(23)	(24)	(24)	(19)	(22)	(20)	(155)
Total	<b>29</b>	<b>22</b>	<b>22</b>	<b>19</b>	<b>25</b>	<b>30</b>	<b>20</b>	<b>167</b>
	(36)	(31)	(36)	(33)	(29)	(34)	(29)	(228)

- Reduction based on measurability, strategic nature and RBM criteria
- Overall, 27% reduction

# Organizational effectiveness and efficiency

- Indicators are very close to version approved in September 2013, with some improvements for measurability
- Indicators used for tracking implementation of QCPR specifically identified
- Baselines and targets now included

# Reporting

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- Annual Report of the Executive Director is primary vehicle for reporting on all indicators, including those related to QCPR
- Annual reporting will be done for each indicator whenever appropriate
  - For indicators reliant on household surveys, annual reporting generally not feasible/useful
- “Data Companion” contains additional details that do not fit in main report (including on some key activities that are not included in the results framework)

Thank you for your support and  
engagement throughout the process!

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