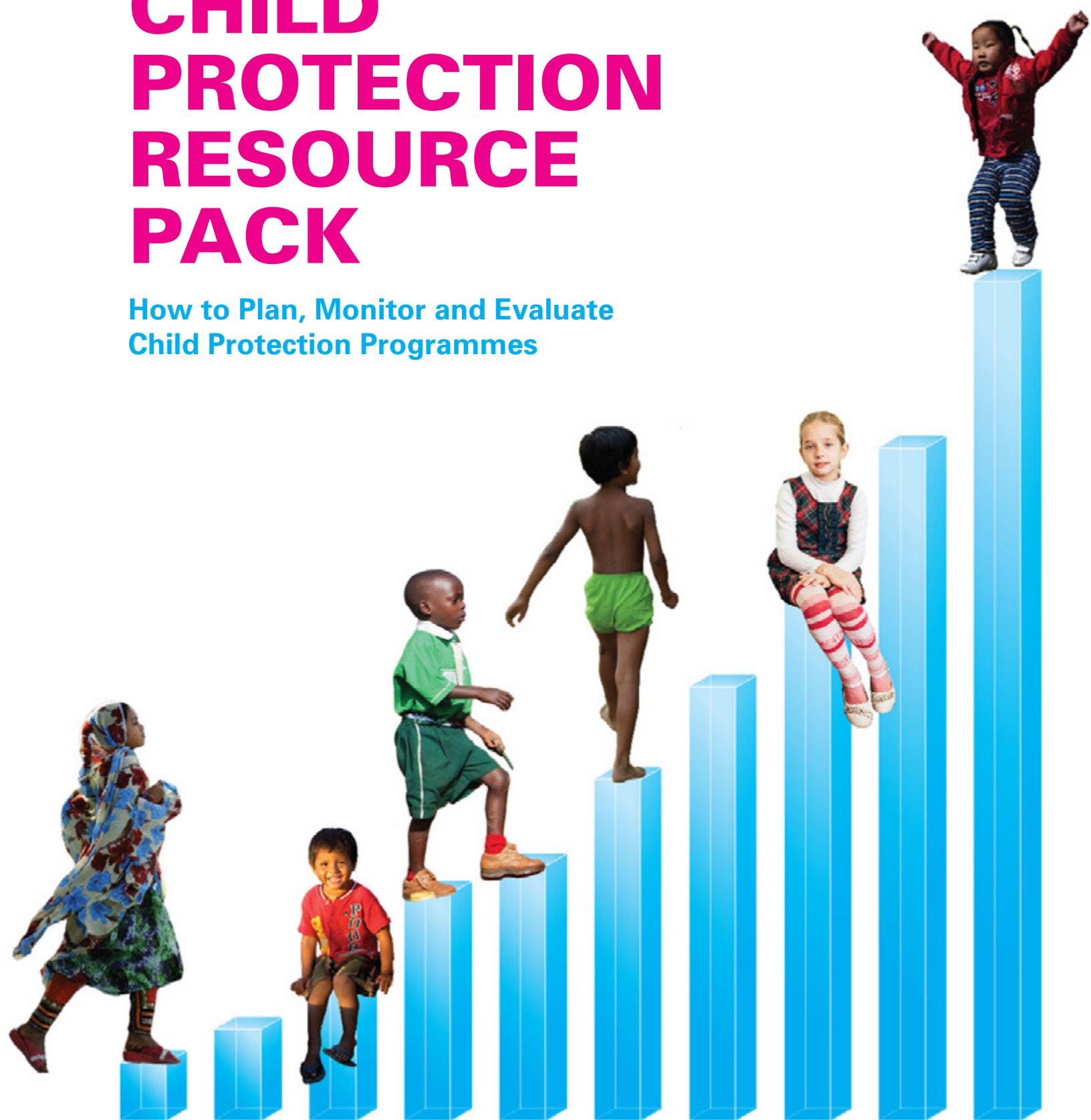


CHILD PROTECTION RESOURCE PACK

How to Plan, Monitor and Evaluate
Child Protection Programmes



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*This document was revised in July 2018 to reflect the contents of the UNICEF Strategic Plan, 2018-2021.

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ABBREVIATIONS AND ACRONYMS

CCC	Core Commitments for Children in Humanitarian Action
CDC	Centers for Disease Control and Prevention
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CEE-CIS	Central and Eastern Europe and the Commonwealth of Independent States
DHS	Demographic and Health Surveys
FGM/C	female genital mutilation/cutting
GBVIMS	Gender-Based Violence Information Management System
GSHS	Global School-Based Student Health Surveys
HBSC	Health Behaviour in School-aged Children surveys
IHSN	International Household Survey Network
ILO	International Labour Organization
IMEP	Integrated Monitoring and Evaluation Plan
KAP	Knowledge, Attitudes and Practice
LSMS	Living Standard Measurement Studies
M&E	monitoring and evaluation
MICS	Multiple Indicator Cluster Surveys
MoRES	Monitoring Results for Equity System
MRM	Monitoring and Reporting Mechanism
NGO	non-governmental organization
OECD	Organisation for Economic Co-operation and Development
OECD/DAC	Organisation for Economic Co-operation and Development/Development Assistance Committee
PEF	Protective Environment Framework
PPPeM	Programme Policy and Procedure electronic manual
RAM	Results Assessment Module
SIMPOC	Statistical Information and Monitoring Programme on Child Labour
UNCRC	United Nations Convention on the Rights of the Child
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
VACS	Violence against Children Surveys
VAWG	violence against women and girls
WHO	World Health Organization
WRO	women's rights organizations



INTRODUCTION: BACKGROUND, PURPOSE, STRUCTURE

BACKGROUND

In such a sensitive and critical area as child protection, planning, monitoring and evaluation (M&E) are crucial to the work of the sector. Improved planning, M&E, the documentation of results, good practices and lessons learned are critical for informing programme strategies and improving accountability at all levels (including to beneficiaries, other stakeholders and donors). While there has been significant improvement in planning and M&E in child protection in recent years, challenges remain.

Substandard M&E practices have been highlighted in numerous reports, including a Child Protection meta-evaluation carried out by UNICEF (2008), an inter-agency global review of evaluations of community based approaches in child protection (2010), and a meta-analysis of evaluations of UNICEF-assisted programmes to address violence against children (2012).¹ These reviews highlighted a number of weaknesses including lack of baseline measurements, lack of comparison groups with pre- and post-intervention measures, unclear programme logic, poorly developed M&E frameworks and a focus on measuring outputs rather than outcomes for children. In 2008, the 'Report on the midterm review of the medium-term strategic plan 2006–2009' pointed out that comprehensive situation analyses indicating the status of major child protection issues at the country level are either absent, or lack depth and coverage.² In 2010, the in-depth review of the Medium-Term Strategic Plan recognized that progress that had been made, yet called for a sharpened focus on improving M&E practices in child protection.³

Generic guidance on planning and M&E is available, including through UNICEF's Programme Policy and Procedure electronic manual (PPPeM), the UNICEF Evaluation Policy and Guidelines and other resources that can be found on the Evaluation intranet. Nevertheless, given the wide range of issues covered by child protection, the hidden nature of many violations, and the fact that child protection goes beyond a service delivery model and often requires changes in deeply ingrained social norms, attitudes and behaviours, it can be challenging to quickly and easily adapt this guidance to the needs of the sector.

1 United Nations Children's Fund, 'UNICEF Child Protection Meta-Evaluation', UNICEF, New York, May 2008; Save the Children, 'What Are We Learning About Protecting Children in the Community? An inter-agency review of the evidence on community-based child protection mechanisms in humanitarian and development settings', Save the Children, London, 2009.

2 United Nations, United Nations Children's Fund Executive Board: Report on the midterm review of the medium-term strategic plan 2006–2009, E/ICEF/2008/18, United Nations, New York, 25 July 2008.

3 United Nations, United Nations Children's Fund Executive Board: Annual report of the Executive Director – Progress and achievements in 2009 and report on the in-depth review of the medium-term strategic plan 2006–2013, E/ICEF/2010/9, United Nations, New York, 25 March 2010.

PURPOSE

The purpose of this resource pack is to **strengthen the evidence base of child protection through clear and practical guidance for improved planning and M&E practices and documentation of good practices and lessons learned**, in line with the main approaches in UNICEF's Child Protection Strategy (2008) and the refocus in UNICEF on monitoring results for equity. The resource pack is a joint initiative between the UNICEF Child Protection Section, the Data and Analytics Section (in the Division of Research and Policy), the Evaluation Office and the Field Results Group.

This resource pack can be used to improve:

- The understanding of the **purposes, processes, norms, standards and guiding principles for planning and M&E within UNICEF**, particularly as these relate to child protection
- The knowledge of the essential elements of the **planning and monitoring processes in UNICEF** with a focus on guidance for **child protection programmes**: developing a robust results framework for programmes, with clear indicators, baselines, and targets, particularly to monitor results for equity; and setting up an effective monitoring system
- The knowledge of the essential elements of the **evaluation process and good practices in child protection**: evaluability; developing an evaluation plan for child protection programmes; managing, designing and conducting quality evaluations; and using evaluation for managing for results, learning and accountability

Given the alignment of this resource pack with UNICEF programme policies and procedures, the main audience is UNICEF staff (particularly Child Protection and Planning and M&E staff). However, the resource pack can also be used or adapted for work with partners, and for use by partners, as relevant.

STRUCTURE

The child protection resource pack consists of four stand-alone modules:

- **Module 1: How to Analyse the Child Protection Situation**
- **Module 2: How to Design a Child Protection Programme**
- **Module 3: How to Monitor the Results of a Child Protection Programme**
- **Module 4: How to Manage an Evaluation for Child Protection**

Each module is broken down into a series of steps for action, and offers guidance on who should use the module and when.

Before reading these modules, it is important to have an understanding of what child protection encompasses and key strategies. Please refer to the following resources:

United Nations, United Nations Children's Fund Executive Board: [UNICEF child protection strategy](#), E/ICEF/2008/5/Rev.1, United Nations, New York, 20 May 2008.

UNICEF, [Adapting a Systems Approach to Child Protection: Key concepts and considerations](#), 2010.

UNICEF, UNHCR, Save the Children, World Vision, 'A Better Way to Protect All Children: The theory and practice of child protection systems', Conference report, UNICEF, June 2013.

UNICEF, [Every Child's Birth Right: Inequities and trends in birth registration](#), 2013.

UNICEF, [A Passport to Protection: A guide to birth registration programming](#), 2013.

UNICEF, [Female genital mutilation/cutting: What might the future hold?](#), 2014.

UNICEF, [Ending Violence Against Children: Six strategies for action](#), 2014.

UNICEF, [Hidden in Plain Sight: A statistical analysis of violence against children](#), 2014.

UNICEF, [Case Studies on UNICEF Programming in Child Protection](#), 2013.

For a description of the issues that child protection encompasses and other publications, please see the [UNICEF intranet pages on Areas of Child Protection Programming and Cross-sectoral Programming](#).

This resource pack is a 'living' document and will be updated periodically based on latest developments and practices in the field.

Any suggestions on additional content and/or resources to be included in this resource pack should be sent to Eri Dwivedi at edwivedi@unicef.org.

Update 2018⁴

BACKGROUND

The Child Protection Resource Pack (Resource Pack) was published in 2015. Since then, UNICEF has a new **Strategic Plan, 2018-2021**, (SP) which guides our work going forward. The new Strategic Plan is also the first articulation of UNICEF's corporate commitments leading to the **2030 Agenda for Sustainable Development** and the **Sustainable Development Goals (SDGs)**. Further, additional programme and monitoring frameworks for child protection have recently been developed.

Our accountability to beneficiaries, partners and donors requires us to demonstrate results. The Child Protection sector must therefore effectively apply **Results-based Management** in its work by enhancing staff competencies in programme designing, implementing, monitoring, evaluating, reporting and managing for results. To ensure that we at UNICEF are achieving the desired changes for children, we need to put in place improved, robust and routine results measurement systems. This entails a better formulation of **indicators** and more robust establishment of baselines and targets as well as supporting countries on improving administrative data, including **disaggregated** data on key protection data. Demonstrating results not only requires building the capacities of staff in the technicalities of measurements, but also improving ways of working – essentially, a strengthened organizational support and accountability on delivering results for children.

The Child Protection Resource Pack and the 2018 Updates are in line with and complement the **RBM guidance and learning and training materials** by the Field Results Group (FRG) and the Division of Data, Research and Policy (DRP). The Child Protection Results-Based Management Capacity Building Plan 2018 aims at revitalizing the use of these training resources to strengthen the RBM capacity and skills of child protection staff and monitoring and evaluation (M&E) focal points around the world, using a phased approach. These efforts will have to be complemented by organizational and sector-wide decisions on the mode of engagement between the Country-Office-Regional Office and Headquarters (CO-RO-HQ), essentially on the quality assurance mechanism for, and roles and responsibilities of RBM within various offices.

4. For more information or additional support, please contact Eri Dwivedi, Child Protection Specialist, Programme Division, UNICEF Headquarters at edwivedi@unicef.org

All of these developments require an **update of the Child Protection Resource Pack to reflect these developments**. The target audience for this Resource Pack is primarily Child Protection Specialists; however, with the shift from a sectoral approach to a 'Goal Area' approach in the new Strategic Plan, the updates to the Resource Pack should have new relevance for colleagues in M&E and other sections accountable for Goal Area 3 results. The underlying programming principles of the Resource Pack remain valid and sound, but it is hoped that these updates will further enhance their significance during the Strategic Plan, 2018-2021.

RESOURCES

- ***Results-based Management (RBM) in UNICEF***: guidance and training materials on RBM developed by the Field Results Group and Division of Data, Research and Policy can be found at: https://unicef.sharepoint.com/teams/OED/PPPMannual/SitePages/RBM_Materials.aspx

STRATEGIC PLAN 2018-2021

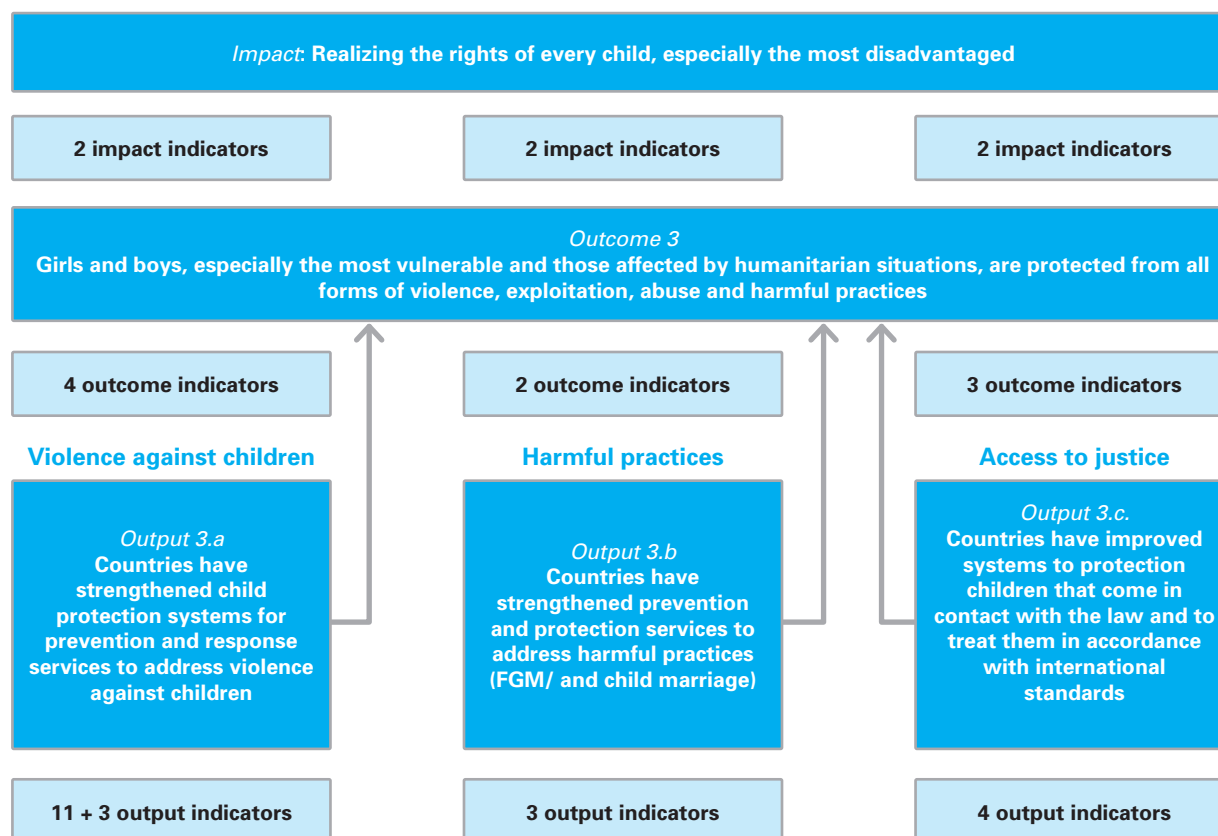
The UNICEF Strategic Plan, 2018–2021, sets out the **concrete results** we aim to achieve for children, together with our partners. It charts a course for the next four years towards the attainment of the 2030 SDGs – and the realization of a better world for every child.

Anchored in the Convention on the Rights of the Child, the overarching goal of the Strategic Plan is to drive results for the most disadvantaged children and young people. The Strategic Plan establishes five goal areas. **Goal area 3** refers to that **by 2030, every child is protected from violence and exploitation**.

RESOURCES

- ***UNICEF Strategic Plan, 2018–2021***: Executive Summary, www.unicef.org/publications/files/UNICEF_Strategic_Plan_2018-2021.pdf
- Narrative, www.unicef.org/about/execboard/files/2017-17-Rev1-Strategic_Plan_2018-2021-ODS-EN.pdf
- Results framework, https://www.unicef.org/about/execboard/files/2017-18-Final_results_framework-ODS-EN.pdf

Figure A. Structure of the UNICEF Strategic Plan, 2018-2021, Results Framework for Goal Area 3



THEORY OF CHANGE

UNICEF's Strategic Plan, 2018-2021, includes an overarching Theory of Change for Goal Area 3. To achieve the outcome, UNICEF's plans to deliver **three outputs**:

- **REVENTION AND RESPONSE TO VIOLENCE:** Countries have strengthened child protection systems for prevention and response services to address violence against children
- **PREVENTION OF HARMFUL PRACTICES:** Countries have strengthened prevention and protection services to address harmful practices, such as female genital mutilation/cutting (FGM/C) and child marriage
- **ACCESS TO JUSTICE:** Countries have improved systems to protect children who come in contact with the law and to treat them in accordance with international standards.

RESOURCES

- **Theory of Change Paper**, UNICEF Strategic Plan, 2018–2021, Executive Board, Second regular session 2017, 12–15 September 2017, UNICEF/2017/EB/11, www.unicef.org/about/execboard/files/2017-EB11-Theory_of_Change-2017.07.19-EN.pdf

RESULTS FRAMEWORK

The results framework of the Strategic Plan defines the **indicators** necessary for monitoring progress. These have been identified based on UNICEF’s mandate and comparative advantage in the 2030 Agenda with respect to United Nations entities.

- **Impact- and outcome-level** results reflect the combined efforts of governments, United Nations entities, the private sector, civil society and other partners.
- **Output-level** results reflect the specific contribution of UNICEF to the 2030 Agenda.

In the new Strategic Plan, UNICEF has advanced from using solely **process** indicators (i.e. measuring the number of countries supported by UNICEF or the number of policies ratified in a specific area of work) to a set of indicators that would capture UNICEF’s actions translated into number of **beneficiary** children.

CHILD PROTECTION INDICATOR MANUAL

The **Indicator Manual for Strategic Plan 2018–2021 Goal Area 3**” was developed by the Child Protection Section at Headquarters in close consultation with the field and aims to clarify definitions and methods of calculation for each Strategic Plan Goal Area 3 indicators in to help Country Offices collect, monitor and report on these indicators. The Manual complements the Strategic Plan by **operationalizing the data collection** for Strategic Plan indicators for child protection.

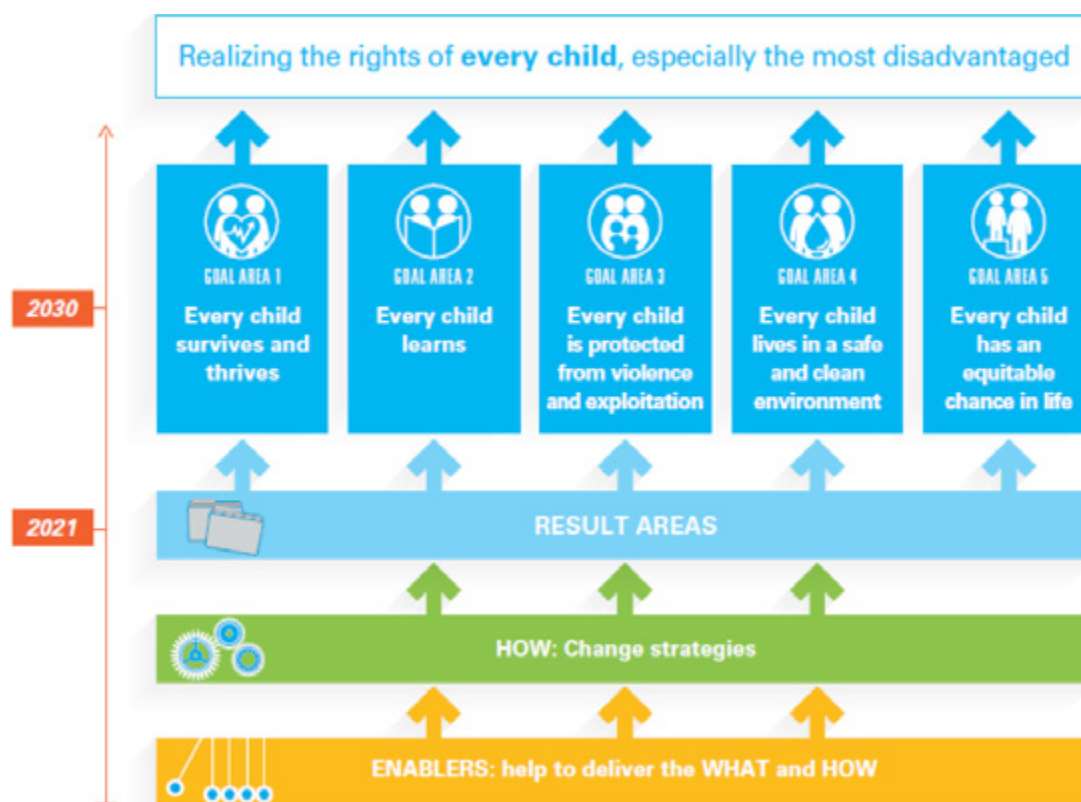
The **purpose** of this Manual is to:

- provide clear **guidance** for Country and Regional Offices *how* to **collect and report on** data on Child Protection Strategic Plan indicators
- enhance **credibility and transparency** of Child Protection core indicators by documenting the methodology used to calculate indicator data.

Indicator Manual for 2018-2021 Strategic Plan Goal Area 3, UNICEF (will be available on the [NYHQ Child Protection SharePoint](#) in July 2018).

The Strategic Plan contains **36 indicators**⁵ that refer to child protection: 21 output indicators, 9 outcome indicators and 6 impact indicators. Of these indicators, 56% track UNICEF's work to prevent and respond to violence against children, 19% measure the work against harmful practices and 25% track results to improve access to justice.

Figure B. Strategic Plan and Agenda 2030⁶



In the Strategic Plan, UNICEF committed to track and report on indicator data disaggregated by **sex, age, geography, disability** and **humanitarian situations**. This is the minimum standard of disaggregation in UNICEF – other or more detailed disaggregation can be carried out at the sub-national, national, regional or global level.

While impact indicators in the Strategic Plan are based on global data, data for outcome and output indicators in the Strategic Plan are **based on a list of countries for each indicator** that UNICEF is working or plans to work in (i.e. the 'universe of countries' for an indicator) during the new Strategic Plan period. UNICEF is accountable for **providing data** on all outcome and output indicators from all countries included in the universe of countries.

⁵ Including three indicators that were included in footnote 39 of the UNICEF Strategic Plan 2018-2021 Results Framework, p. 30.

⁶ UNICEF Strategic Plan, 2018-2021, Executive Summary, 2018, p. 9 found at https://www.unicef.org/publications/files/UNICEF_Strategic_Plan_2018-2021.pdf

USING THE STRATEGIC PLAN

The Strategic Plan guides the development of UNICEF country programmes and work at the global and regional level. The theory of change and the Strategic Plan indicators are useful tools at every step of the programming cycle⁷ for:

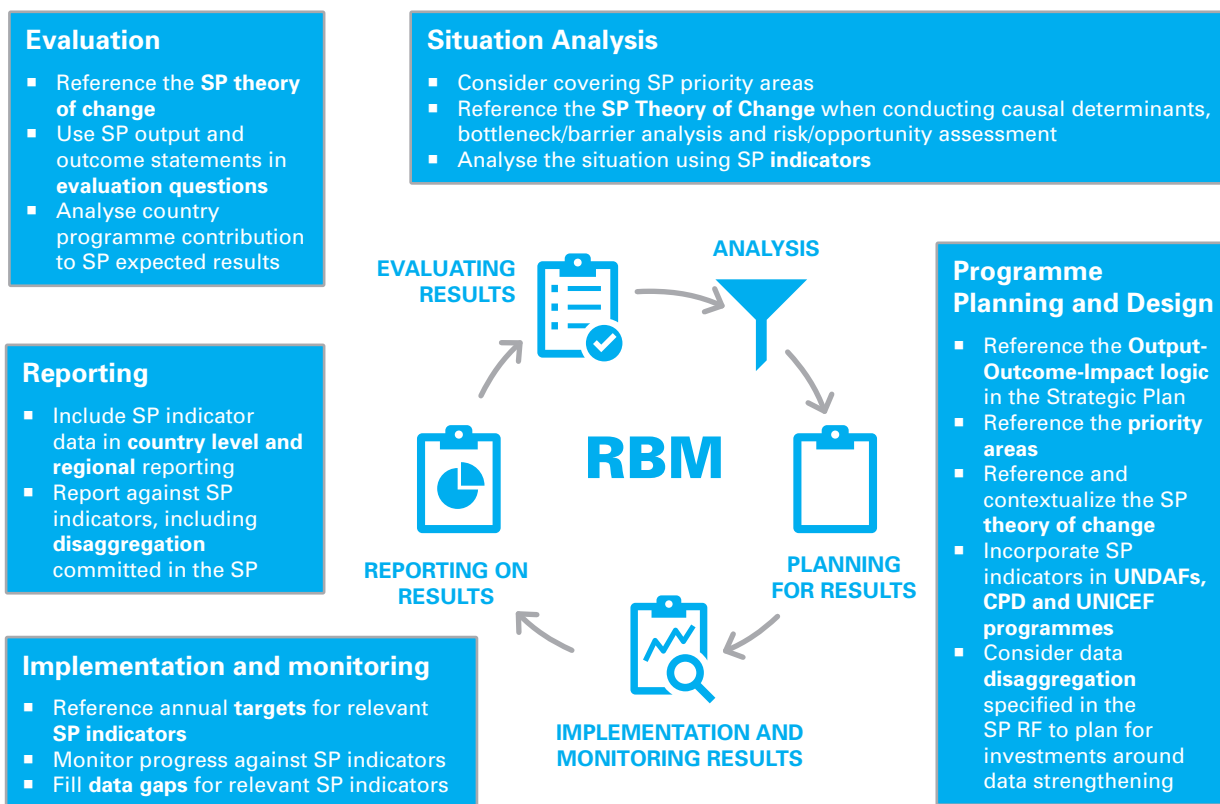
- **Analysing the child protection situation** (*Module 1*)
- **Designing a child protection programme** (*Module 2*)
- **Monitoring the child protection programme** (*Module 3*)
- **Managing an Evaluation for child protection** (*Module 4*).

RESOURCES

- **UNICEF Strategic Plan**, 2018–2021, Executive Board, Second regular session 2017, 12-15 September 2017, E/ICEF/2017/18, www.unicef.org/about/execboard/index_96578.html

Figure C. Use of the Strategic Plan (SP) during the programme cycle

The Strategic Plan should be a reference point in all stages of the programme cycle



⁷ This Child Protection Resource Pack covers RBM for child protection. Overall guidance and training materials on RBM in UNICEF developed by the Field Results Group and Division of Data, Research and Policy can be found at: https://unicef.sharepoint.com/teams/OED/PPPMannual/SitePages/RBM_Materials.aspx





Module 1: How to Analyse the Child Protection Situation

WHEN to use this module:

- *Prior* to **developing** a child protection programme
- Usually at the *very beginning* of a **UNICEF** country programme cycle
- Also when needed *during* the **implementation** of a child protection programme to update or revise the situation analysis

WHO should use this module:

- **Child protection staff** in coordination with other sectoral specialists in a country office, with support as necessary from **planning** and **M&E staff**

OVERVIEW

STEP 1: Agree on the conceptual framework

STEP 2: Gather the evidence

STEP 3: Assess data quality

STEP 4: Analyse the manifestations of violence, abuse, exploitation and neglect

STEP 5: Analyse the causes of violence, abuse, exploitation and neglect

STEP 6: Validate and use the situation analysis

SPECIAL CONSIDERATIONS IN A HUMANITARIAN CONTEXT

USING STRATEGIC PLAN INDICATOR DATA

Data for the indicators defined by the Strategic Plan 2018–2021 can be a useful source to **analyse the child protection situation** prior to developing a child protection programme. It can help to answer the four key questions of a child protection situation analysis (see p. 16 of the Child Protection Resource Pack):

PREVALENCE

Data for the following Strategic Plan indicators – specifically disaggregated by sex, age and disability – can be useful in analysing **which children** are affected, by **what types** of violence, exploitation, abuse and neglect, and **what child protection issues** are of most concern:

- % of children who have ever experienced sexual violence (Strategic Plan indicator K)
- % of girls and boys who experienced any physical punishment and/or psychological aggression by caregivers (L)
- % of girls who have undergone female genital mutilation/cutting (M)
- % of women and men married or in union before age 18 (N)
- Rate of children in detention (O)
- Rate of children in residential care (P)
- % of adults who think that physical punishment is necessary to raise/educate children (3.2.)
- % of children under five whose births are registered (3.7.).



PROTECTIVE FACTORS

Data for the following Strategic Plan indicators are useful in analysing the extent **that protective factors are in place**, and how well child protection violations are being addressed:

- % of girls and boys who have ever experienced any sexual violence and sought help from a professional (3.1.)
- Number of adolescent girls receiving prevention and care interventions to address child marriage (3.5.)
- Number of mothers, father and caregivers reached through parenting programmes (3.3.a)
- Number of girls and boys who have experienced violence reached by health, social work or justice/law enforcement services (3.3.b)
- Number of girls and women who receive prevention and protection services on female genital mutilation/cutting (3.b.1.)
- Number of people who participate in education, communication and social mobilization platforms promoting the elimination of FGM/C (3.b.2.)
- % of girls and boys who are in contact with the justice and administrative bodies who benefit from interventions to improve children's access to justice, such as specialized legal aid for children (3.6.a.)
- % of girls and boys who are in contact with the justice and administrative bodies who are subject to a diversion order or alternative measure as opposed to a custodial sentence (3.6.b.).

CHILD PROTECTION SYSTEM

Data for the following Strategic Plan indicators are useful in analysing the how effective the **child protection system** is and what the gaps are:

- An inter-operable information management system supports and tracks case management, incident monitoring, and programme monitoring (3.a.3.)
- Number of countries with specialized justice for children system (3.c.1.)
- A quality assurance system is in place for social service work (3.a.1.)
- Does the country implement a costed national action plan or strategy to end child marriage? (3.b.3.)
- Percentage of justice professionals that have been certified in and dealing with child offenders and child victims (3.c.3.)
- Does the country have a free and universal birth registration service within the civil registration system, in accordance with national legal requirements? (3.c.4.).

NORMS

Data for the following Strategic Plan indicators are useful in analysing the **legal and other norms** to support the protection of children:

- Does the country have a legislative and policy framework to eliminate the worst forms of child labour? (3.a.2.)
- Has the country ratified the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children? (3.a.8)
- Does the country have a legal framework in place to promote, enforce and monitor equality and non-discrimination for children, regardless of their migratory status? (3.a.7.c.)
- Percentage of women and men who believe that FGM/C should be eliminated (3.4.).



HUMANITARIAN CONTEXT

Data for the following indicators are in analysing the child protection situation **in a humanitarian context**:

- Does the country affected by armed conflict have a strategy to strengthen the protection of children from grave violations of international humanitarian law? (3.a.4)
- Percentage of UNICEF-targeted girls and boys in humanitarian situations provided with psychosocial support (3.a.5.a.)
- Percentage of UNICEF-targeted unaccompanied and separated girls and boys registered with family tracing and reunification services and family-based care or appropriate alternative services (3.a.5.b.)
- Percentage of UNICEF-targeted girls and boys recruited and used by armed forces and groups that have been released and reintegrated with their families and provided with adequate care and services (3.a.5.c.)
- Percentage of UNICEF-targeted girls and boys in areas affected by landmines and other explosive weapons provided with relevant prevention and survivor assistance interventions (3.a.5.d.)
- Percentage of UNICEF-targeted women, girls and boys in humanitarian situations provided with risk mitigation, prevention or response interventions to address gender-based violence (3.a.6.)
- Number of children on the move who receive protective services (3.a.7)
- Does the country have a formal UNICEF-supported best interests assessment/best interests determination (BIA/BID) process for unaccompanied and separated children? (3.a.7.a)
- Number of unaccompanied and separated children (UASCs) who have benefited from a formal UNICEF-supported BIA/BID process? (3.a.7.b).

ANALYZING STRATEGIC PLAN INDICATOR DATA

In addition, it is often useful to look at **raw data** for Strategic Plan indicators at the country level in more detail, especially yes/no indicators and indicators that are aggregated from multiple sources can reveal a more **nuanced** picture for the situation analysis. For example, the Strategic Plan indicator for a country specifies that it lacks a quality legislative and policy framework to eliminate the worst forms of child labour (Strategic Plan indicator 3.a.2.). However, a more in-depth analysis of the data shows a more nuanced picture:

Figure 1A. Raw country-level data for Strategic Plan indicator 3.a.b. (legislative and policy framework for worst forms of child labour)

Questions	Yes/no	Score
Has the country ratified the Convention on the Rights of the Child (CRC)	<input checked="" type="checkbox"/> yes	0 points
Has the country ratified ILO C138 without any reservations, e.g. for agricultural work?	<input checked="" type="checkbox"/> yes	
Has the country ratified ILO C182 without any reservations, e.g. for agricultural work?	<input type="checkbox"/> no	
Has the country ratified CRC, ILO C138 and ILO C182?	<input type="checkbox"/> no	0 points
Is the country's legal minimum age for employment compliant with minimum age standards (ILO C138)?	<input checked="" type="checkbox"/> yes	1 points
Does the national legislation explicitly prohibit slavery and forced labour, trafficking of children and sexual exploitation?	<input checked="" type="checkbox"/> yes	1 points
Does the national legislation explicitly prohibit hazardous work for children and young workers?	<input type="checkbox"/> no	0 points
Does the country have targeted government programmes, including National Action Plans, to prevent the worst forms of child labour?	<input type="checkbox"/> no	0 points
TOTAL:		2 points

*5 points: **good quality** legislative and policy framework; 3-4 points: legislative and policy framework **needs improvement**; 0-2 points: legislative and policy framework **lacks quality***



USING OTHER RESULTS FRAMEWORKS

Over the past years, additional programme and monitoring frameworks have been developed that can be useful for analysing the child protection situation in a country or a geographic area:

INSPIRE

INSPIRE is a UNICEF-supported, evidence-based resource for everyone committed to preventing and responding to violence against children and adolescents – from government to grassroots, and from civil society to the private sector. It describes seven strategies: the implementation and enforcement of laws; norms and values; safe environments; parent and caregiver support; income and economic strengthening; response and support services; and education and life skills. INSPIRE comes with an indicator guidance that includes **results frameworks** and a core list of **recommended indicators** to measure change over time.

UNICEF PROGRAMME GUIDANCE AND MONITORING FRAMEWORK ON PREVENTING AND RESPONDING TO VIOLENCE AGAINST CHILDREN

The Programme Guidance and Monitoring Framework on Preventing and Responding to Violence Against Children provides Country Offices and programme sections with pragmatic guidance on how to **translate the Theory of Change into action**, focusing on the specific contribution that UNICEF can make to the achievement of the SDGs targets, based on UNICEF's comparative advantage. The Programme Guidance recommends that UNICEF focuses on a core set of high-impact, evidence-based, multi-sectoral approaches and priority interventions, which all Country Offices are strongly encouraged to pursue during this Strategic Plan cycle. The **Monitoring Framework** does not seek to create new indicators, but consolidates indicators from the SDGs, UNICEF Strategic Plan 2018-2021, the Results Assessment Module (RAM) and INSPIRE into one cohesive package, to simplify and support the collection of data by Country Offices. It includes priority indicators per sector to track progress on preventing and responding to violence against children (VAC).

RESOURCES

- ***INSPIRE: Seven Strategies for Ending Violence Against Children***, WHO 2016, www.who.int/violence_injury_prevention/violence/inspire/en
- ***INSPIRE Indicator Compendium***, World Health Organization (WHO), soon available on the WHO website and UNICEF Child Protection Section, Headquarters SharePoint at: unicef.sharepoint.com/teams/PD/ChildProtection/NYHQCP/SitePages/Home.aspx

RESOURCES

- [Global Programme Framework on Children on the Move](#), UNICEF Programme Division 2017, PD/Guidance/2017/002
- [Programme guidance on social service workforce](#), UNICEF (will be available on the [NYHQ Child Protection SharePoint](#) in 2018)
- [Results framework of the Joint Programme on FGM](#), UNFPA-UNICEF, [NYHQ Child Protection SharePoint](#)
- [Results framework of the Global Programme to accelerate Action to End Child Marriage](#), UNFPA-UNICEF, [NYHQ Child Protection SharePoint](#)
- [Guidelines for Integrating GBV Interventions in Humanitarian Action](#), Global Protection Cluster/IASC, 2015.

GLOBAL PROGRAMME FRAMEWORK ON CHILDREN ON THE MOVE

The framework provides normative guidance for UNICEF's six policy asks that advocate for placing the best interest of children at the centre of compacts for refugees and migrants. It includes **theories of change** as well as example outcome and output **indicators** for programme responses.

PROGRAMME GUIDANCE ON SOCIAL SERVICE WORKFORCE

The programme guidance contains a monitoring framework aligned with the Strategic Plan 2018-2021.

JOINT PROGRAMME ON FEMALE GENITAL MUTILATION/CUTTING

The results framework of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting (JPFGM/C) describes outcomes, outputs and indicators.

GLOBAL PROGRAMME ON ENDING CHILD MARRIAGE

The results framework of the UNFPA-UNICEF Global Programme to Accelerate Action to End Child Marriage (GPECM) describes impact, outcomes, outputs and indicators. The Programme is based on a theory of change.

GUIDELINES FOR INTEGRATING GENDER-BASED VIOLENCE INTERVENTIONS IN HUMANITARIAN ACTION

These guidelines assist humanitarian actors and communities affected by armed conflict, natural disasters and other humanitarian emergencies to coordinate, plan, implement, monitor and evaluate essential actions for the prevention and mitigation of gender-based violence across all sectors of humanitarian response. Each thematic area includes a **non-exhaustive set of indicators** for monitoring and evaluating the recommended activities at each phase of the programme cycle.



01

Module 1: OVERVIEW

To design and implement a sound child protection programme, we need to first understand the current situation of child protection in a country.⁸ Therefore, this first module looks at how to analyse the situation with respect to child protection. A thorough situation analysis will help UNICEF and its partners make an informed and empirically robust decision on what to prioritize with regard to child protection and highlight issues for consideration in national development processes.

UNICEF defines situation analysis as “an **assessment and analysis** of the country situation, with respect to children’s and women’s rights and critical issues affecting their realization. The process is used to fill key knowledge gaps within a country-specific research agenda and to understand the causes of and linkages between deprivations experienced by children and women.”⁹

A situation analysis of child protection in a country should serve the following purposes:

- Improve the **understanding** of decision makers, partners and other stakeholders of the current status of violations of the right of children to be protected from all forms of violence, abuse and exploitation, and their causes
- Support national and decentralized **planning and development processes** to improve child protection systems, promote social change and prevent and respond to violence, abuse and exploitation against children

⁸ United Nations Children’s Fund, ‘[Protecting Children from Violence: A synthesis of evaluation findings](#)’, UNICEF, New York, June 2012, p. 245.

⁹ <intranet.unicef.org/dpp/PPPHandbook.nsf/WebTopicPage/0/B8DD8E90557BE66A852578DD0008DC46?OpenDocument>.

- Provide national and sub-national bodies with the means by which they can **monitor** the child protection situation
- Contribute to national **research** on child protection and leverage UNICEF's convening power to foster and support knowledge generation
- Strengthen the **knowledge base** to assess the contribution of development partners – including UNICEF and the United Nations – to the protection of children from violence, exploitation, abuse and neglect

A child protection situation analysis supported by UNICEF should seek answers to at least the following key questions:¹⁰

- **Which children** (by sex, socio-economic status, ethnic origin, etc.) are affected, or are at risk of being affected, **by what types** of violence, exploitation, abuse and neglect? What is the **prevalence** of child protection violations and what are the contexts in which they occur? What child protection issues are of **most concern** to governments, communities, families and children?
- What **protective factors** should be in place, to what extent are they in place, and how well are child protection violations being addressed? What are the immediate, underlying and structural **causes** of shortcomings in protecting children?
- **In relation to the above, how effective** is the child protection system in a country and what are the gaps? Who are the main **actors** related to child protection: government and non-government including United Nations agencies, international non-governmental organizations, non-governmental organizations (NGOs), civil society, the private sector, etc.? What are their main roles and responsibilities? Where are they working?¹¹
- What **norms** (legal or others) and social, cultural, institutional, economic, political, demographic and ideological factors impede, and what norms could potentially support the protection of children?

¹⁰ It is not recommended that a situation analysis include recommendations on future actions. Rather, the focus should remain on analysing the situation of child protection in a country.

¹¹ This information should come from child protection mapping and assessment if available.



APPROACH AND TIMING

There are three approaches to analysing the child protection situation:

- As part of an overall UNICEF-supported situation analysis of children's and women's rights
- As part of a joint analysis with governments or other development actors (e.g., government-led sector review, United Nations Country Team Country Analysis, Post Conflict Needs Assessments, Child Rights Governance Analysis with Save the Children)
- As a separate child protection sectoral or issue-based situation analysis conducted by UNICEF or together with partners

The third approach, a sector-specific situation analysis, can have several **advantages**:

- A focus on child protection is likely to make the analysis more thorough and detailed than if it is a subsection of a broader situation analysis. It may enable more in-depth exploration of multiple deprivations and structural (i.e., underlying) causes.
- It may allow for more in-depth engagement with stakeholders specific to child protection and related sectors, which could result in greater buy-in to the findings.

However, a prerequisite for a separate child protection situation analysis is the availability of sufficient **funding and staff time**. It also should ensure that **linkages** with other sectors are included in the analysis, since child protection is both a sector in itself, and intersectoral. These cross-sectoral linkages should become apparent during the causal analysis. For example, lack of access to schools or issues related to their quality or safety may lead in turn to increased child labour.

In some situations, we might want to conduct a situation analysis for a **subsector of child protection, such as juvenile justice, alternative care, child labour, birth registration or violence against children**. This is especially the case if very limited information is currently available on a child protection issue and/or if very specific, detailed information and knowledge is required.

EXAMPLES

- List of recent UNICEF-supported Situation Analyses.
- For a particularly data-rich situation analysis see the United Republic of Tanzania report from 2010 or South Africa from 2009. The South Africa situation analysis demonstrates good use of graphical representation of data, as does the 2011 report on India.
- The digital library of Save the Children Sweden has a number of child rights situation analyses. A search for 'child rights situation analyses' in the library leads to several analyses.
- In **Zimbabwe**, UNICEF decided to support one of the first in-depth qualitative analyses of justice for children, in Justice for Children Sector Analysis: Juvenile justice, inheritance, custody, and the victim friendly system, Danish Institute for Human Rights, December 2011.
- In **Kenya**, UNICEF supported a similar situation analysis for the justice sector, in 2012 Situational Analysis of Children in the Justice System in Kenya, November 2013, Community Law Centre/ University of the Western Cape, 2012.
- In **Honduras**, UNICEF supported an analysis of factors that affect birth registration, in Factores que afectan el registro oportuno de nacimientos de niñas y niños menores de un año en Honduras, UNICEF, 2011.
- In **Central America and the Caribbean**, UNICEF supported a case study to analyse the impact of small arms on children and adolescents, in The Impact of Small Arms on Children and Adolescents in Central America and the Caribbean: A case study of El Salvador, Guatemala, Jamaica and Trinidad and Tobago, UNICEF, 2007.

A child protection situation analysis should be undertaken or comprehensively updated **at least once in the course of a programme cycle**. It should take place **prior to the design of a new programme**. The right balance needs to be found between a quick but basic analysis and an in-depth, lengthy analysis which takes too long to be useful to inform programming. The timing may also be aligned with **newly available information** (e.g., the Violence Against Children Surveys,¹² new Multiple Indicator Cluster Surveys (MICS) data on child protection, new research on child protection issues), complex emergency situations or other important contextual changes.

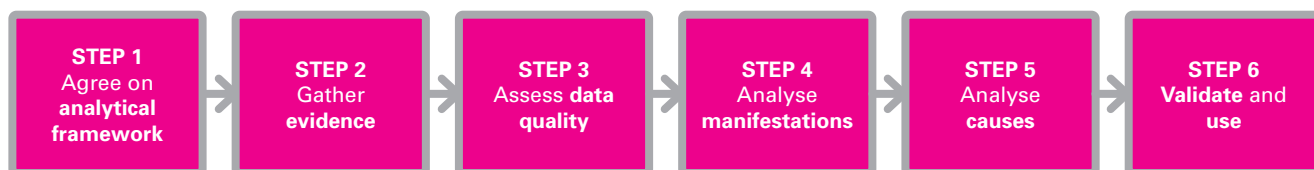
The timing should also be aligned with the planning of national development priorities and related policymaking exercises. In addition to entry points in the UNICEF programme cycle, entry points related to government planning and policy processes are opportunities for conducting or updating a situation analysis.

Country offices also have the option to conduct a **rolling situation analysis**.¹³ A 'light' update on the situation of child protection can be included in the annual review or report of a child protection programme or in the UNICEF Country Office Annual Report.

PROCESS

Similar to a general situation analysis, an analysis specific to child protection follows a basic sequence of steps (figure 1):

FIGURE 1: Six steps in a situation analysis of child protection



12 Violence Against Children Surveys are national household surveys developed by the US Centers for Disease Control and Prevention (CDC) and UNICEF. The application of the surveys and related programme interventions have formed the basis of the Together for Girls initiative, a partnership with national governments, civil society and the private sector to bring attention to the issue of violence against children, with a focus on sexual violence against girls <www.togetherforgirls.org>.

13 This may be done either by starting with a full situation analysis and updating it regularly or by building a situation analysis through successive annual reviews and reports.



UNICEF's situation analyses are typically part of or feed into the broader **Country Analysis** by the United Nations Country Team which serves as a basis for the United Nations Development Assistance Framework (UNDAF).

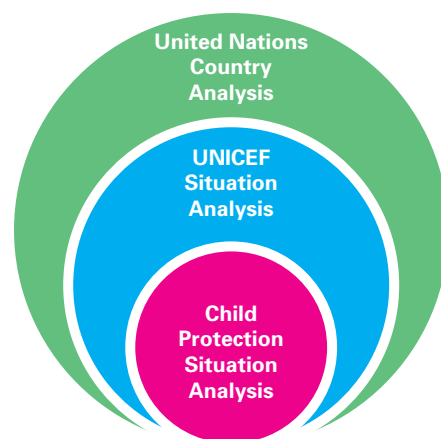
To provide a sound basis for considering child protection or aspects of it as a key programmatic area of UNICEF and the UN, a child protection situation analysis should ideally be conducted in the country well *before* a broader United Nations Country Analysis, in *parallel* to it or as *part* of it.

The **process** of a situation analysis can be equally important as the analysis itself. It can help UNICEF and its partners in the following ways:

- Provide an opportunity for discussing (and possibly agreeing on) harmonizing diverging definitions related to child protection (e.g., what constitutes 'child labour' or 'disability')
- Provide a platform for a dialogue on sensitive issues (e.g., where social norms, cultural or political considerations may impede an open discussion)
- Help stakeholders agree on a vision and/or strategy for child protection in a country
- Provide a platform for galvanizing collective action to protect children

Having **national ownership** is important to building consensus on the analytical results, including the use of internationally recognized data and standards for child protection, where available. Stakeholder involvement should be strategically planned and managed throughout the process. The situation analysis should be anchored and synchronized as closely as possible to other national development processes.

It is also important for all relevant UNICEF staff to be involved in the process: the situation analysis should be a team effort, not just the sole responsibility of one lead or focal point.



GENERAL RESOURCES ON SITUATION ANALYSIS

- Detailed guidance on a situation analysis, the process and tools are available in [Guidance on Conducting a Situation Analysis for Children's and Women's Rights](#), UNICEF, 2012.
- UNICEF's PPPeM contains a chapter with general guidance on how to conduct a situation analysis: [Situation Assessment and Analysis of Children and Women \(3.3.1.\) and Rolling Situation Analysis \(3.3.2\)](#), in PPPeM, UNICEF.
- UNICEF's intranet site contains additional guidance and tools for a situation analysis: [UNICEF guidance and resources on Situation Analysis](#).
- Guidance on how the United Nations conducts a broad country analysis can be found in [How to Prepare an UNDAF: Part \(II\) – Technical guidance for UN Country Teams](#), undg.org, 2010, pp.15–27 (Technical Guidance on Country Analysis).

PARTNERS

An inclusive and participatory process of analysing the child protection situation can lay the groundwork towards strong and coordinated partnerships when developing and implementing a future programme. Such partnerships should involve national and local governments, affected communities, civil society groups, private firms, donors, international agencies, international financial institutions and other development actors. For example, **community-based participatory research generates valuable information while empowering community members** to take ownership of the issues they are facing. This can be especially important when dealing, for instance, with social norms.

A mapping of partners in the situation analysis process can provide a basis for seizing opportunities offered by strategic partnerships and other collaborative arrangements. This can involve a mapping of their agendas, approaches as well as their capacity for action.

Module 1, STEP 1: Agree on the conceptual framework

As a first step, we need to establish which conceptual frameworks – either in combination or individually – will be used for the analysis. Conceptual frameworks help us to define what information we are looking for, and to frame, design and conduct a child protection situation analysis. They establish a logical flow for the situation analysis and make it more systematic.

All conceptual frameworks are grounded in a human rights based approach. **Children, as rights holders**, have claims on those with obligations to ensure the fulfilment of those rights. The obligation to protect children from all forms of violence, exploitation, abuse and neglect rests upon governments. However, in addition to governments, parents, communities, NGOs and others have **duties**. At the same time, parents and other duty bearers also may have unfulfilled rights, for example due to poverty or exclusion. Thus,



international and regional human rights normative frameworks are key reference points for analysing and ensuring the realization of children's rights, in particular the United Nations Convention on the Rights of the Child (UNCRC), the Convention on the Rights of Persons with Disabilities, and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW).

A broad conceptual framework for the protection of children from violence, exploitation, abuse and neglect must include both (a) manifestations of violence, exploitation, abuse and neglect and (b) potential immediate, underlying and structural causes.

MANIFESTATIONS

Manifestations of violence, exploitation, abuse and neglect refer to:

- Which children (sex, socio-economic status, ethnic origin, geographical location, etc.) are affected, or are at risk of being affected, by what types of violence, exploitation and abuse
- The prevalence of child protection violations and contexts in which they occur
- Which child protection issues are of most concern to governments, communities, families and children

The types of child protection violations to be analysed will depend on the country context. However, these could include the following across emergency and non-emergency contexts:*

- Children who experience physical violence
- Children who experience sexual violence/sexual abuse and exploitation
- Children who are trafficked
- Children who are married before their 18th birthday
- Girls who undergo female genital mutilation/cutting (FGM/C)
- Children engaged in child labour
- Children who are not registered at birth
- Children without family care
- Children affected by migration (internal and cross-border; migrating on their own, with others or left behind)

RESOURCES

- *UNICEF Programme, Policy and Procedure e-Manual, Section 2.5.1: Human Rights-Based Approach to Programming (HRBAP)*, UNICEF, March 2015.
- *List of legal frameworks and political commitments* related to child protection and cross-cutting issues.

- Children who are recruited by armed groups and armed forces
- Children who are in conflict or contact with the justice system
- Children affected by land mines and unexploded ordnances
- Children affected by armed violence

**Some children may be affected by more than one of these manifestations at the same time.*

PERSPECTIVES ON MANIFESTATIONS

When analysing the manifestations of child protection, it can be useful to apply different perspectives or lenses. One can choose to emphasize one perspective, but they can also be used together. Following are some examples:

A. Equity lens

Some girls and boys are particularly vulnerable to child protection violations because of sex, gender identity, sexual orientation, race, ethnic origin, religion and socio-economic or other status.¹⁴ Higher levels of vulnerability to certain forms of violence, abuse, exploitation and neglect may also be associated with children with disabilities, children affected by HIV and AIDS, and other marginalized groups. Other risks for children are associated with living and working on the streets, living in residential care, living in detention centres and living in communities where violence, inequality, unemployment and poverty are highly concentrated. Natural disasters, armed conflict and displacement may expose children to additional risks. Child refugees, internally displaced children and unaccompanied migrant children or children of undocumented migrants are also populations of concern. Vulnerability is also associated with age; younger children are at risk of certain types of violence and the risks differ as they get older. The experiences of boys and girls can vary tremendously depending on other characteristics. For example, the experiences of girls who are affected by violence can vary significantly by age,

RESOURCES

- The paper ***Child Protection: Equity and the whole child***, UNICEF, unpublished, 2010, makes the case for an equity approach cutting across the life cycle of the child.

¹⁴ Vulnerability in child protection is the risk of experiencing violence, abuse, exploitation or neglect.



stage of life, socio-economic status, religion, ethnicity, race, caste, sexual orientation, health (both physical and mental), minority status, citizenship and status as an asylum seeker or refugee.¹⁵

B. Multidimensional deprivations

Violence, exploitation, abuse and neglect against and of children occur in all racial, ethnic, religious and socio-economic groups and affect children of all ages, including infants. Children who experience one form of violence, abuse, exploitation or neglect are likely to experience other forms of protection violations. Thus, it is important to consider the different forms of violence, exploitation, abuse and neglect and how they are interlinked. In addition, children who experience child protection violations may also be deprived in terms of education, health, nutrition, early childhood development, etc.

C. Life cycle approach

A child's development is not a universal process; there are a **diversity of development pathways** across his or her life course. While biological age may be measured in years, in many settings the transition through childhood into adulthood is marked by a series of life stages or rites of passage.¹⁶ These denote key stages of a child's cognitive, physical and moral development, with opportunities for building her or his capacities, life skills and resilience. They are, however, also associated with risk factors that may lead to violence, exploitation, abuse and neglect, and children at different ages may be more vulnerable to different child protection issues. For example, younger children may be more at risk of violent discipline at home, whereas older children may be more vulnerable to sexual violence or child marriage. Hence the necessity of analysing risk and protective factors across the life cycle of the child in all aspects of UNICEF's work, when doing the situation analysis.¹⁷

¹⁵ See UNICEF Innocenti Research Centre and Government of the Netherlands, 'A Study on Violence Against Girls: Report on the International Girl Child Conference – 9–10 March 2009', UNICEF Innocenti Research Centre, Florence, June 2009, p. 29.

¹⁶ These may be based on social hierarchies, values and beliefs specific to certain contexts and cultures.

¹⁷ The life cycle approach also includes prevention interventions and continuity of services to ensure they are adaptable (according to key stages of children's development) and the notion that prevention and protection from risks start at the beginning (e.g., protection against sexual violence should be part of early childhood interventions).

TOOL

- **Multiple Overlapping Deprivation Analysis (MODA)** is a tool developed by UNICEF to enhance the equity focus of child poverty and deprivation analyses around the world. MODA adopts a holistic definition of child well-being, concentrating on the access to various goods and services which are crucial for their survival and development.

RESOURCES

- **Setting Our Agenda on Early Learning, Violence and Physical Development: Early childhood matters**, Bernard van Leer Foundation, The Hague, June 2010, p. 5.
- **Children and the Millennium Development Goals: Fragile gains and deep inequalities**, Policy Paper 2, Young Lives, Oxford, UK, September 2010, p. 10.
- **Equity and Quality? Challenges for early childhood and primary education in Ethiopia, India and Peru**, Working Paper 55, Bernard van Leer Foundation, The Hague, November 2009.
- **Child Protection in Emergencies: Priorities, principles and practices**, Save the Children Sweden, Stockholm, 2007, pp. 9–11.

EXAMPLE

- For an example of a data-driven, solid situation analysis of child protection that is structured according to the life cycle (pregnancy, conception, birth, infant and toddler, early childhood, middle childhood, adolescence) see **Children & Women in Tanzania, Vol 1: Mainland**, UNICEF, 2010, p.152.

RESOURCES

- A paper titled ***Early Childhood Transitions Research: A review of concepts, theory, and practice***, Working Paper No. 48, Bernard van Leer Foundation, The Hague, May 2008, provides a review of the major perspectives in research on early childhood transitions and underscores the value of using a variety of conceptual and methodological tools to achieve a holistic understanding of childhood.
- The study ***Innocenti Insight: The evolving capacities of the child***, UNICEF Innocenti Research Centre, Florence, 2005, explores three themes in seeking to question how the adult world meets its responsibilities towards the realization of children's rights in accordance with their evolving capacities: how to provide the social, economic, cultural and physical environment necessary for children's optimal development; how to encourage children's participation in decision-making and guarantee appropriate respect for their capacities; and how to protect children from an inappropriate burden of responsibility and harm as a consequence of their youth and 'still evolving' capacities.

POTENTIAL CAUSES OF THESE MANIFESTATIONS

This section outlines a number of lenses or frameworks that may be helpful to analyse causes of child protection violations, including risks and protective factors. A sample conceptual framework, which brings these various frameworks together and can be updated to the particular child protection issues and context, is then provided.

A. Child protection system framework

The actors engaged in child protection include children and youth, families, communities, government and civil society and private organizations.

The main elements of a child protection system are:

A governance structure that includes a robust legal and policy framework as well as management and oversight	This includes regulations and standards compliant with the 1989 UNCRC, other international standards and good practices.
Preventive and responsive services	A well-functioning system must have preventive, early intervention and responsive services delivered by government, NGOs or the private sector, including a process of care which includes identification, referral, follow-up, response, etc.
Effective collaboration and coordination	Mechanisms must be in place to actualize the relationships between system components and actors, which may include those within the child protection sector and in different sectors at the same level or different levels working together to protect children.
Accountability	The child protection system must be accountable. Policy development, advocacy work and programming should be built on evidence-based information (research, data collection, etc.).
Human, financial and infrastructure resources	Effective resource management must be in place, such as enough skilled workers in the right places, adequate budget allocations, effective training and appropriate infrastructure (from vehicles to meeting rooms).



These elements of a child protection system – and the actors involved – interact with and influence one another, and are also affected by the broader social, cultural and political environment.

Strengthening a child protection system also requires:

- Placing a greater emphasis on prevention and a longer-term response to the protection of children that is robust, coordinated and adaptable
- Recognizing the relationships between institutions and actors
- Recognizing the boundaries of the child protection system and its interactions with other systems, such as health and education
- Information on mapping and assessing child protection systems is presented in Module 1, STEP 2, Section H (Mappings and assessment of child protection systems).

B. Protective Environment Framework

The Protective Environment Framework (PEF), set out in the 2002 UNICEF Operational Guidance Note, defines eight broad elements that are critical to child protection. These interconnected elements work individually and collectively to strengthen protection and reduce vulnerability to protection risks.¹⁸

The **2008 Child Protection Strategy** rearticulated the elements of PEF within two main approaches: (a) strengthening child protection systems; and (b) supporting social change for improved protection from violence, exploitation, abuse and neglect. In practice, social norms have an influence on the ways a child protection system is organized, functions and is used. Simultaneously, the child protection system can influence the continued adherence to particular negative social norms and be a vehicle for promoting positive, protective social norms for children.

¹⁸ The eight elements of a PEF are: governmental commitment to fulfilling protection rights; legislation and enforcement; attitudes, traditions, customs, behaviours and practices; open discussion, including the engagement of media and civil society; children's life skills, knowledge and participation; capacity of those in contact with the child; basic and targeted services; and monitoring and oversight.

RESOURCES FOR CHILD PROTECTION SYSTEMS

- **Webinar Series on Child Protection Systems (2013–2014)**. This site provides access to recorded webinars on child protection systems as well as related PowerPoint Presentations. It address such issues as CP systems mapping and measurement, equity, systems typologies, and social protection and child protection and includes country examples.
- **Towards a Typology for Child Protection Systems**, prepared for UNICEF and Save the Children by UoM COMMERCIAL LTD, Commercial Engagement Services for the University of Melbourne, 2014. This project is one step in a series of ongoing efforts to develop a universal typology of child protection systems that is applicable to a wide range of country contexts. The paper presents a provisional theoretical typology that can be used as a tool for stakeholders to further their understanding of their own system and what might be needed to improve it.
- **A 'Rough Guide' to Child Protection Systems**, Save the Children UK, 2009. This 'rough guide' provides an **introduction** to child protection systems. It provides an overview of the current discussions on child protection systems and may be found online.
- **Adapting a Systems Approach to Child Protection: Key concepts and considerations**, UNICEF, New York, January 2010. This working paper attempts to facilitate the exchange of knowledge and stimulate discussions on a systems approach to child protection.
- **A Better Way to Protect ALL Children: The theory and practice of child protection systems**, Conference report, UNICEF, June 2013. In November 2012, ►

130 policymakers, academics, practitioners and other experts committed to child protection met in New Delhi, India, over four days to review and consolidate what had been learned so far about the development and reform of child protection systems, look at new ideas concerning those systems and explore their relevance, and outline an agenda for future work on child protection systems. This report summarizes the conference's discussions, conclusions and recommendations.

RESOURCE

- **The Protective Environment: Development support for child protection**, Human Rights Quarterly vol. 27, 2005, pp. 214–248.

C. Determinant framework

The Monitoring Results for Equity System (MoRES) determinant framework is a **set of 10 essential conditions** that must be achieved across a range of levels (structural, community, individual and interpersonal) so that service delivery functions effectively and behaviours that prevent and address violence, exploitation, abuse and neglect are promoted. The determinant framework is based on a model traditionally used to identify bottlenecks in health service delivery systems but has been adapted and expanded to address the needs of other sectors.¹⁹

Undertaking an analysis of the 10 determinants provides a structured, comprehensive way to help identify what bottlenecks and barriers exist that may prevent results for the most disadvantaged children from being realized and what can be done to overcome them. The determinant analysis may also be seen as a tool to identify bottlenecks and barriers to be addressed to strengthen child protection systems and change social norms, practices and beliefs. It is also a tool to help map the required set of actions to address the bottlenecks and barriers, as well as roles and responsibilities. Experience to date recommends involving a broad range of stakeholders and partners in the determinant analysis. Rarely would UNICEF alone have all the data and knowledge to conduct a meaningful, in-depth analysis.

The determinant framework is in line with both the Protective Environment Framework (PEF) and the components of a child protection system and it integrates elements of both (table 1) while also emphasizing the dynamic interplay of social norms and social-cultural practices and beliefs and their influence on the functioning of the system and on outcomes for children. Like the elements of PEF and the components of a child protection system, the determinants are inter-connected and work collectively to achieve the desired outcome.

¹⁹ The determinants framework and the accompanying determinant analysis (use of the framework to identify bottlenecks) is a main innovation of MoRES. The conceptual framework for the determinant analysis is derived from the bottleneck analysis approach originated by Dr. T. Tanahashi. For more information, see Tanahashi, T., 'Health Service Coverage and its Evaluation', *Bulletin of the World Health Organization* vol. 56, no. 2, 1978, pp. 295–305. Also see 'Reaching Universal Health Coverage through District Health System Strengthening: Using a modified Tanahashi model sub-nationally to attain equitable and effective coverage', UNICEF, New York, December 2013.



THE 10 DETERMINANTS

UNICEF has identified **10 critical conditions or determinants** that must be fulfilled in order to achieve results for children, including the most disadvantaged, across all sectors.

The **use of the framework** to identify the determinants that are not being fulfilled (i.e., the main bottlenecks or barriers) and analyse factors that may cause the bottlenecks **is called a 'determinant analysis'**.

Where did the 10 determinants come from?

The concept of the determinant framework is derived from the Tanahashi model of effective coverage for health services. In the 1970s, Dr T. Tanahashi developed an approach to identify and alleviate bottlenecks to health-care coverage through the analysis of six determinants. He identified three supply determinants and three demand determinants. In the MoRES determinant framework, the 'supply' and 'quality' domains are largely drawn from the Tanahashi model. The 'enabling environment' domain and the 'socio-cultural practices and beliefs' determinants under the 'demand' domain are significant additions to the original Tanahashi model (see table below). These were added so that factors related to social norms, policy/legislation, budget/expenditure, governance (i.e., management/coordination), and practices and beliefs that may be present in certain disadvantaged areas/groups are considered in the analysis. This also made the framework more applicable across sectors and contexts, particularly those that require more action at the enabling environment level. The determinant framework has been adapted and expanded for use in all sectors and across various country contexts. In relation to child protection, the fulfilment of these determinants helps to make sure that (a) **service delivery systems are functioning effectively** to prevent and respond to child protection violations, and (b) **social norms, practices and beliefs** that prevent violence, exploitation, abuse and neglect are being **promoted or established**. The 10 determinants relate to the enabling environment, supply, demand and quality.

Area	Determinant	Definition
Enabling environment	1. Social norms	Social rules of behaviour, which are mainly driven by social pressure, i.e., individuals engaging in a practice or behaviour because they think that others expect them to
	2. Legislation/policy	Adequacy of laws and policies at national and sub-national level
	3. Budget/expenditure	Allocation and disbursement of required resources at national and sub-national level, and efficiency of use
	4. Management/coordination	Clarity on roles and responsibilities and mechanism for coordination/partnership
Supply	5. Availability of essential commodities/inputs	Essential commodities/inputs required to deliver a service or adopt a practice
	6. Access to adequately staffed services, facilities, information	Physical access (services, facilities, information, human resources)
Demand	7. Financial access	Ability to afford the direct and indirect costs of using services and adopting practices
	8. Social and cultural practices and beliefs	Individual beliefs and practices that may be widely shared but are not mainly driven by social pressure or expectations
	9. Timing and continuity of use	Timeliness/completion/continuity in use of services and adoption of practices
Quality	10. Quality	Adherence to required quality standards (national or international norms)

TABLE 1: HOW THE DETERMINANT FRAMEWORK LINKS TO PEF AND THE CHILD PROTECTION SYSTEMS APPROACH

Determinant framework	Protective environment framework	Child protection system components
Social norms	Open discussion, including engagement of media and civil society; attitudes, customs and behaviours	Communication and advocacy
Legislation/policy	Government commitment (policies), legislation and enforcement	Laws, policies and standards
Budget/expenditure	Government commitment (adequate budgets)	Fiscal resources and management
Management/coordination	Monitoring and oversight	Evidence and data for decision-making; management and oversight; effective collaboration and coordination
Availability of essential commodities and inputs	Basic and targeted services	Preventive and responsive services, infrastructure resources
Access to adequately staffed services, facilities and information	Basic and targeted services, capacity of those in contact with the child, children's life skills, knowledge and participation	Preventive and responsive services, human resources
Financial access	Capacity of those in contact with the child (financial capacity)	Preventive and responsive services
Social-cultural practices and beliefs	Open discussion, including engagement of media and civil society; attitudes, customs and behaviours	Communication and advocacy
Continuity	Capacity of those in contact with the child (capacity to enable continued use of services or follow up on cases until their closure)	Preventive and responsive services
Quality	Basic and targeted services (in terms of quality), monitoring and oversight	Preventive and responsive services (in terms of quality), monitoring and oversight

Applying the determinant framework and analysis in child protection

Findings to-date show that the determinant framework has been helpful to structure the analysis of child protection issues, particularly when the analysis is applied to a sub-system of child protection (e.g. civil registration and vital statistics /birth registration system, juvenile justice system) or in relation to service delivery, given the focus on supply, demand and quality. Some countries have found the framework useful to distill and organize the vast amount of information from child protection systems mapping, and prioritize areas in the system that needed to be addressed.



However, when the framework has been applied to analyze a child protection issue more broadly, such as ‘violence against children’, or ‘child marriage’, the bottlenecks identified are very broad (e.g. harmful social norms, lack of implementation of legislation/policies, etc.). In addition, as the determinant analysis is grounded in systems thinking, it assumes determinants are interlinked and are mutually dependent conditions for achieving an intended result. If many interventions are analyzed at once and involve different actors and ‘sub-systems’, the linkages between the determinants become convoluted, which makes it harder to prioritize which bottlenecks to address. For example, when analyzing bottlenecks to the prevention of and response to ‘violence against children’, one could consider a number of interventions such as parent education programmes, campaigns/initiatives to change attitudes and behaviors, child welfare services (including the continuum of care and case management), etc. and each of these interventions may have different bottlenecks.

Applying the determinant analysis at the level of ‘intervention’

Given the experience so far, it is most useful to apply the determinant analysis to identify bottlenecks to the effectiveness of ‘interventions’, rather than to child protection issues. For example, rather than applying the framework to analyze bottlenecks related to addressing violence against children at large, one would first identify the key evidence-based interventions to address the main causes of violence against children that were identified in the Situation Analysis. With respect to violent discipline, one main cause in a particular context might be parents’ lack of knowledge of the harmful effects of violent discipline and how to use positive alternative disciplining methods. One intervention to address this could be a parent education programme. The determinant framework would then be applied to analyze and monitor bottlenecks that are hampering the effectiveness of parenting education in relation to supply (availability and access to the programme), demand (acceptability of the programme as perceived by parents), quality (quality of the programme in terms of meeting standards), and enabling environment (supportive social norms, legislation/policies, budget, and management/coordination).

RESOURCES

- ***Pursuing Equity in Practice: A compendium of country case studies on the application of the Monitoring Results for Equity System (MoRES)***, UNICEF, New York, 2015. This compendium presents 15 country case studies on application of MoRES across all regions and sectors as well as a synthesis of results, challenges and lessons learned.
- ***The Determinant Analysis for Equity Programming***, UNICEF, 2014. This document provides step by step guidance on how to conduct a determinant analysis; it is applicable across sectors.
- **MoRES Sharepoint site** (filter by Child Protection).

To take another example, if the main causes of child marriage in a particular context are lack of economic resources, adolescent girls' lack of empowerment to participate in decisions that affect them, and limited access to reproductive health services, the key interventions might be: a) a social protection scheme to improve the economic situation of families of girls who are most at –risk; b) a life skills programme for adolescent girls, which also involves parents/families; and c) increasing the coverage of quality health services – particularly reproductive health services – for adolescent girls. The determinant analysis would then be applied to analyze and monitor bottlenecks in relation to each of these interventions. Some interventions clearly lie within the domain of other sectors, so the analysis would be led by those sectors with involvement of child protection staff. This would also help to more clearly delineate the roles of other sectors in addressing child protection issues.

Application of the determinant analysis with respect to interventions is further discussed in Module 2, STEP 3

While this resource pack deals with analysis of determinants using the Country Programme Cycle, particularly the country programme preparation phase, as an entry point, it is also important to note that the determinant analysis can be done to support formulation/revision of national and subnational government plans and policies on child protection (e.g., national child protection policy and policy on child care reform).

For more detailed guidance on how to conduct a determinant analysis and where it fits within MoRES and the Country Programme cycle, see the resources list, particularly the guidance note, The Determinant Analysis for Equity Programming.



APPLYING MoRES IN CHILD PROTECTION

Applying MoRES in child protection thus means answering the following key questions at country level:

Situation/ Problem Analysis <i>(covered in Module 1 of this resource pack)</i>	<p>a. What are the main child protection violations in the country context that are a priority to address and which children (age, sex, geographic location, ethnicity, disability status, etc.) are most affected? Identifying the most disadvantaged groups is critical from an equity perspective.</p> <p>b. What are the <u>main causes</u> of these protection violations, including immediate and underlying/root causes? (The determinant framework has often been applied at this level but any conceptual framework can be used –a sample conceptual framework that incorporates the determinant categories of Enabling Environment, Supply, Demand and Quality is presented in table 2).</p>
Determinant analysis to inform programme design <i>(covered in Module 2, STEP 3 of this resource pack)</i>	<p>c. What are the key evidence based interventions to address the main causes? If all main causes are addressed – either by UNICEF or other actors – one can expect the prevalence of the violation(s) to decrease. When identifying interventions, their contribution to overall system strengthening and addressing multiple child protection issues needs to be considered, as well as the role of other sectors in implementing interventions and taking them to scale (e.g. birth registration via integration in health centers)</p> <p>d. Which ‘determinants’ or ‘conditions’ are not being met with respect to each key intervention? (These represent bottlenecks). Why is this the case?</p> <p>e. Are planned activities being implemented to reduce the bottlenecks? Who will do what?</p>
Monitoring programme implementation <i>(covered in Module 3, STEP 1 - Section on Work plans and expenditure)</i>	<p>f. Are planned activities being implemented? Are financial allocations and expenditure on track? Are other inputs (supplies, human resources) available to implement the activities?</p>
Monitoring bottleneck reduction and using this data to inform programmes/policies <i>(covered in Module 3)</i>	<p>g. Are the priority bottlenecks that were identified being reduced?</p> <p>h. Bottleneck reduction should be monitored at least every 6 months to one year, or even more frequently depending on the need, plausibility of change within a specific time period, and feasibility of frequent data collection (including through innovative technologies and approaches). For this monitoring to be sustainable and done at scale it is important that it is institutionalized in existing systems, primarily those of government, to the extent possible. Monitoring should only take place for those bottlenecks that were deemed a priority to address. Often, indicators to monitor reduction of bottlenecks will be equivalent to output indicators, though additional determinant indicators may be monitored outside of the Results Assessment Module (RAM). Please see Module 2, STEP 3 and STEP 4 as well as Module 3, STEP 2 for more information.</p> <p>i. Is the information from bottleneck monitoring being used to adjust to overall plans and strategies at sub-national and also inform and influence policy dialogue / reviews / planning at national levels? This constitutes the ‘feedback loop’ of MoRES. At the planning stage when results and indicators are being formulated, it is important to identify when and how data from monitoring bottleneck reduction will be used and by whom to inform programmes and policies as relevant, in order to ensure that this feedback loop is in place.</p>
Assessing longer term outcomes and impact <i>(covered in Module 3)</i>	<p>j. Has bottleneck reduction translated into improved outcomes for children?</p> <p>k. Rigorous monitoring of longer term outcomes and impact usually occurs every 3-5 years. This monitoring plays an essential role in validating whether priority bottlenecks/barriers have been reduced and the extent to which this has translated into improved outcomes / impact for children. The data and information on outcome and impact is also used to inform the situation analysis for the next planning cycle.</p>

RESOURCE

- **Ecological model for protection of children affected by HIV/AIDS.** At every level of the social ecological model, families, communities, government and civil society play a unique and essential role in supporting child development. This diagram is an adaptation of the social ecological model for orphans and vulnerable children programming and shows the importance of each level in creating a cohesive response for children affected by HIV and AIDS.
- **Early Childhood Transitions Research: A review of concepts, theory, and practice,** Working Paper No. 48, Bernard van Leer Foundation, The Hague, May, 2008, pp. 23–26.
- **Business as Usual? The global political economy of childhood poverty,** Technical Note No. 13, Young Lives, Oxford, UK, October 2008.
- **The Structural Determinants of Child Well-being: An expert consultation hosted by the UNICEF Office of Research,** – 22–23 June 2012, UNICEF, New York, December 2012.
- **Understanding the Impacts of Crisis on Children in Developing Countries,** Young Lives, December 2010.
- **Social Norms,** in The Stanford Encyclopedia of Philosophy, Spring 2014 ed., edited by Edward N. Zalta, Stanford University, Stanford, Calif., 2014.

D. Ecological framework

The ecological framework is mostly concerned with an **individual's position in wider ecological systems**.²⁰ The nested, interdependent nature of children, families and communities is a key element of the ecological perspective. The ecological framework is informed by **systems theory**, which underscores the interactions of (ever-changing) individuals within the context of their (ever-changing) environments. The framework refers to four aspects of the ecology in which children grow up (microsystems, mesosystems, exosystems and macrosystems) and how factors at each of these levels exert influence on the development and well-being of children.²¹

With respect to risk and protective factors at the macrosystems level and more structural determinants, evidence shows that factors such as global **economic transition** and **crisis, urbanization, climate change** and an increasing number of **natural disasters, organized crime, armed violence** and **conflict** put increasing pressure on families (including children) to cope and provide for each other's needs, with results that can lead to family separation (even breakdown) and increased interpersonal violence with adverse impacts on children's development and protection across the life cycle, which undermine development more broadly.²²

It is also important to consider the **role of state and non-state actors in creating, tolerating and perpetuating some forms of violence** against children. This ranges from the persistence of discrimination in laws and their interpretation to the failure to protect civilians, including children, in conflicts between and within states. In addition to gender, other forms of discrimination may also be entrenched in structures. For example, **indigenous children may be more vulnerable to violence** than many other population groups. Many indigenous communities around the world live under extreme strain due to the environmental degradation of their lands, displacement, loss of traditional livelihoods and, in some cases,

20 Advanced by psychologist Urie Bronfenbrenner, among others.

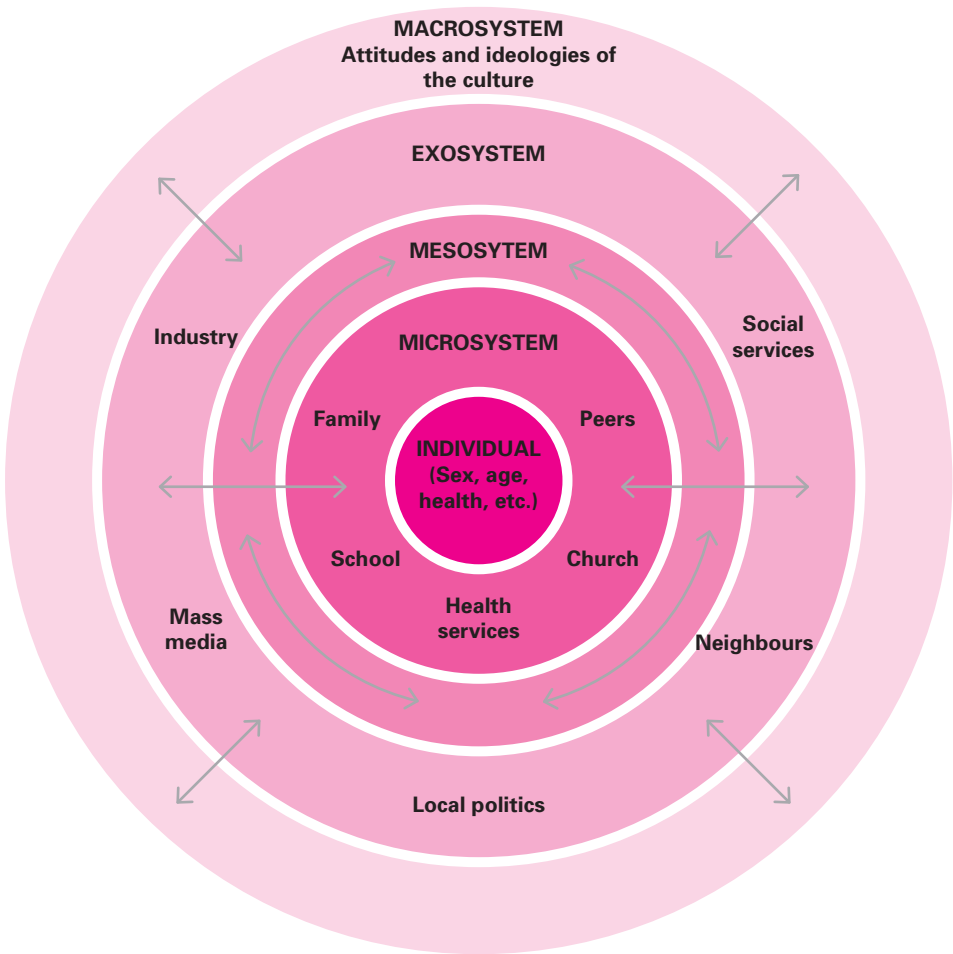
21 Bronfenbrenner, Urie, *The Ecology of Human Development*, Harvard University Press, Cambridge, Mass., 1979; Bronfenbrenner, Urie, 'Ecology of the Family as a Context of Human Development: Research perspectives', *Developmental Psychology*, vol. 22, no. 6, 1986, pp. 723–742; Brooker, Liz, 'From Home to the Home Corner: Observing children's identity-maintenance in early childhood settings', *Children & Society*, vol. 20, no. 2, 2006, pp. 116–127.

22 UNICEF Innocenti Research Centre and Government of the Netherlands, 'A Study on Violence Against Girls: Report on the International Girl Child Conference – 9–10 March 2009', UNICEF Innocenti Research Centre, Florence, June 2009, pp. 33–34; Fomubi, Joseph, and Ronnie Lovich, 'Role of Men in the Lives of Children: A study of how improving knowledge about men in families helps strengthen programming for children and women', United Nations Children's Fund, New York, December 1997; and 'Setting Our Agenda on Early Learning, Violence and Physical Development: Early childhood matters', Bernard van Leer Foundation, The Hague, June 2010 and Organisation for Economic Co-operation and Development, 'Conflict and Family: Armed violence reduction – Enabling development', OECD, Paris, 2009.



deliberate actions by state authorities to force them to assimilate into the dominant culture.²³

FIGURE 2: Ecological framework of an individual



Source: <en.wikipedia.org/wiki/Social_ecological_model>.

E. Sample conceptual framework

The sample conceptual framework draws on the previously discussed lenses and frameworks, and is informed by the Child Protection Systems approach, PEF and the determinant framework. It is grounded in a human rights based approach that considers risk and protective factors and the roles and capacities of rights holders and duty bearers. It is also grounded in an ecological framework: the causes of violence, abuse or

23 UNICEF Innocenti Research Centre, 'Ensuring the Rights of Indigenous Children', Innocenti Digest No. 11, UNICEF Innocenti Research Centre, Florence, 2004, p. 11.

exploitation are determined by a combination of factors at the individual, family, community, societal and structural level and the relations between these.²⁴

Specific causes will vary by context and issue (e.g., causal pathways of child marriage may be different from those of children in residential care). In addition, an immediate cause of a problem in one country may be regarded as a more deep-rooted underlying cause in another. It is also important to note that the direction of causation may not be only from structural to immediate causes – there could be cycles where immediate and structural causes reinforce each other and generate “poverty traps.” For example, poverty can be a major cause of child marriage, but child marriage can be a cause of the reproduction of poverty across generations, generating a vicious cycle. The sample framework aims to capture the broad categories of risk and protective factors that can be considered and these can be further adapted/specified based on the issue(s) that are being analysed and the country context.²⁵

The conceptual framework should guide the gathering of information and the analysis of the data available on the causes of child protection violations.

24. Structural elements include political and religious factors and the historical context; the economic situation and class structure; trends in economic growth or decline; urbanization and migration; and types of risks and occurrences of conflict and natural disasters.

25. Causal factors are interdependent and interact and influence one another.

TABLE 2: CONCEPTUAL FRAMEWORK FOR CHILD PROTECTION

Analysis of child protection deprivations (i.e., child protection violations) and inequities
<ul style="list-style-type: none"> ■ Prevalence of child protection violations, disaggregated by age, sex, socio-economic status, ethnic origin, geographical location, etc. ■ Contexts in which violations occur (e.g., home, school, community) ■ Overlapping deprivations (overlapping child protection violations, and overlap of child protection violations with rights violations in other sectors such as education, health) ■ Analysis of children (age, sex, socio-economic status, ethnic origin, geographical location, etc.) who are at risk of child protection violations
Immediate causes (the services and practices that should be in place but are not)
<ul style="list-style-type: none"> ■ Coverage of effective child protection systems <ul style="list-style-type: none"> » Supply – i.e., access to coordinated prevention and response services and information* and availability of human resources (linked to the capacity of duty bearers to fulfill their obligations) » Demand for services* – i.e., when they are available they are being used by the target population (linked to the capacity of rights holders to claim their rights) » Quality of services* – i.e., whether services meet minimum standards (linked to the capacity of duty bearers to fulfil their obligations)



Services to consider are the following (as relevant to the child protection issues being examined):

- Continuum of care services from entry to exit (processes of identification, reporting, referral, investigation, assessment, treatment and follow-up, including re-integration with family or placement in alternative family based care as relevant)
- Justice for children services
- Civil registration services
- Basic social services and transfers (*education, early childhood development, health, social protection*)
- Care and protective practices at family and community level
 - » Weak community based child protection mechanisms/linkage to the more formal systems
 - » Traditions or practices that undermine protection

Underlying and root causes (reasons for the lack of quality services and protective practices)

- **Government commitment and political leadership for child protection**
 - » Legislation/policy
 - Ratification of international conventions, their domestication into national laws and reporting compliance
 - National policies and legislation that affect child protection
 - Religious and customary laws
 - » Budget/expenditure
 - Budget allocation and expenditure, costed strategies, etc., for child protection
 - » Management/coordination
 - Government structures and coordination mechanisms at national and sub-national levels
 - Monitoring and oversight to reinforce accountability
 - Data analysis, measurement, and use of data for child protection
- **Capacities, knowledge, motivation and support of those in contact with the child**
 - » Household level
 - Financial access: How households manage, adapt and cope with financial/economic risks, and how children are affected; financial ability at household/family level to access services related to child protection and/or to provide appropriate care
 - Capacities for parenting and child care, and parent-child relationships
 - Intra-household relations
 - » Intra-household level
 - Peer-to-peer relationships and support
 - Inter-household relations
 - » Service-provider level
 - Capacity of service providers in social welfare, justice, civil registration, education and health systems
- **Children's knowledge and skills, and mechanisms that exist to promote their engagement**
- **Social norms and socio-cultural factors**
 - » Perceptions of childhood and child well-being, factors shaping the transition from infancy to adulthood, children's roles (and those of boys and girls) in the family, community and society at different stages of the life cycle of the individual and household members, norms related to parenting and roles of mothers and fathers, other norms underlying harmful practices
 - » Beliefs related to child care and child protection
- **Socio-economic, political, demographic and historical context**
 - » Political and religious factors and historical context
 - » Economic and class structure
 - » Trends in economic growth or decline, urbanization and migration
 - » Risks and occurrence of conflict and natural disasters

Module 1, STEP 2: Gather the evidence

The analytical framework (see [STEP 1](#)) helps us in determining what we need to analyse to better understand the current and past child protection situation in a country. Step 2 encompasses gathering existing information on these aspects and assessing its quality.

The review of secondary data is typically the main source of information for a UNICEF situation analysis. If major gaps in the evidence base are obvious, UNICEF can consider supporting primary data collection.

A checklist can help us map the existing information and compile all potentially relevant information for a subsequent analysis. The following checklist is based on the example of a conceptual framework presented in table 2. It is recommended that Child Protection Sections use such a checklist throughout the Country Programme and keep it regularly updated. The checklist contains the following elements:

- **Areas of information:** This is divided into (a) manifestations of violence, exploitation, abuse and neglect of children, and (b) protective factors (the absence of which increase children's risk of experience violence, exploitation, abuse and neglect).
- **List of existing information sources:** This includes both quantitative *and* qualitative information. Only a combination of both types of information will offer a wide variety of perspectives and provide a reliable and comprehensive picture of the situation.
- **How up-to-date the information is:** This refers to the year and/or month when the information was last collected.
- **How representative the information is:** This refers to the extent the data can be generalized and refers to both quantitative and qualitative data. For quantitative and qualitative data, the sample selection can result in selection bias (e.g., when using purposive sampling). Very small samples (e.g., case studies) are usually only representative of specific situations and cannot be easily generalized. The same might apply to small subsamples, even if the overall survey is statistically robust (e.g., a national survey may produce accurate regional estimates but not data sufficiently robust for district-level analysis).



TABLE 3: EXAMPLE OF A CHECKLIST TO MAP AND COLLECT CHILD PROTECTION INFORMATION IN RELATION TO THE CONCEPTUAL FRAMEWORK

Area of information	List existing information sources	How up-to-date is the information?	How representative is the information?
1. Information on MANIFESTATIONS OF VIOLENCE, EXPLOITATION, ABUSE AND NEGLECT <ul style="list-style-type: none"> ▪ The extent to which children are affected by violence, exploitation, abuse and neglect and characteristics of children affected ▪ Contexts in which violence, exploitation, abuse and neglect occurs ▪ Overlapping child protection violations, and overlap of child protection violations with rights violations in other sectors such as education, health ▪ Analysis of children who are at risk of violence, exploitation, abuse and neglect 			
2. Information on PROTECTIVE FACTORS 2.1. Services for child protection (prevention and response) <ul style="list-style-type: none"> ▪ Continuum-of-care services (supply, demand, quality) ▪ Justice for children services (supply, demand, quality) ▪ Civil registration services (supply, demand, quality) ▪ Basic social services and transfers (education, health, social protection) – supply, demand, quality 			
2.2. Care and protective practices at family and community level <ul style="list-style-type: none"> ▪ Community based child protection mechanisms/ linkage to the more formal systems ▪ Traditions or practices that impact on protection 			
2.3. Government commitment and political leadership for child protection <ul style="list-style-type: none"> ▪ Legislation/policy <ul style="list-style-type: none"> » Ratification of international conventions, their domestication into national laws and reporting compliance » National policies and legislation that affect child protection and religious and customary laws ▪ Budget allocation and expenditure <ul style="list-style-type: none"> » Budget allocation and expenditure, costed strategies, etc., for child protection 			

<ul style="list-style-type: none"> ■ Management/coordination <ul style="list-style-type: none"> » Government structures and coordination mechanisms at national and sub-national levels » Monitoring and oversight to reinforce accountability » Data analysis, measurement and use of data for child protection 			
2.4. Capacities of those in contact with the child <ul style="list-style-type: none"> ■ How households manage, adapt and cope with financial/economic risks, and how children are affected ■ Financial ability at household/family level to access services related to child protection and/or to provide appropriate care ■ Knowledge of parents on parenting and child care, and parent-child relationships ■ Intra-household relations ■ Peer-to-peer relationships and support; Inter-household relations ■ Capacity of service providers in social welfare, justice, civil registration, education and health systems 			
2.5 Capacities of children <ul style="list-style-type: none"> ■ Children's knowledge and skills ■ Mechanisms that exist to promote children's engagement/participation in decisions that affect them 			
2.6 Social norms and socio-cultural factors <ul style="list-style-type: none"> ■ Beliefs, expectations, behaviours and practices driven by social norms/social pressure ■ Beliefs, expectations, behaviours and practices driven by other factors ■ Perceptions of childhood and child well-being, factors shaping the transition from infancy to adulthood, children's roles in the family, community and society at different stages of the life cycle 			
2.7 Socio-economic, political, demographic and historical context <ul style="list-style-type: none"> ■ Political and religious factors and historical context ■ Economic and class structure ■ Trends in economic growth or decline, urbanization and migration ■ Risks and occurrence of conflict and natural disasters 			



GATHER EVIDENCE ON MANIFESTATIONS OF VIOLENCE, EXPLOITATION, ABUSE AND NEGLECT

We want to know how many children are affected by or are vulnerable to violence, exploitation, abuse and neglect and which children are most at risk.

Data on children's experience of violence, exploitation, abuse and neglect can be found in:

- Surveys
- Administrative data and information systems
- Qualitative data sources
- Other sources

Surveys that collect data on violence, exploitation, abuse and neglect can be broadly divided into surveys that are conducted as part of international programmes and country-specific surveys.

A. International survey programmes

A good place to start gathering quantitative evidence on violence, exploitation, abuse and neglect are international survey programmes. There are currently six international programmes that routinely collect data relevant to child protection:

- Multiple Indicator Cluster Surveys (MICS)
- Demographic and Health Surveys (DHS)
- Living Standard Measurement Studies (LSMS)
- Statistical Information and Monitoring Programme on Child Labour (SIMPOC)
- Global School-Based Student Health Surveys (GSHS)
- Health Behaviour in School-aged Children (HBSC) Surveys

Depending on the country context and the child protection issue in question, other surveys can also be useful to check for relevant information. These include data and information from child well-being surveys and studies, adolescent development surveys, labour force surveys, and household expenditure and income or other social and economic surveys.

RESOURCES

- A comprehensive overview of surveys, questionnaires, reports, access information and links to survey data can be found in the catalogue of the [International Household Survey Network \(IHSN\)](#).
- A synthesis of internationally comparable data on the **health of adolescents** can be found in '*Health of the World's Adolescents: A synthesis of internationally comparable data*', *The Lancet*, vol. 379, no. 9826, 2012, pp. 1665–1675.

TABLE 4: INTERNATIONAL SURVEY PROGRAMMES COLLECTING DATA ON CHILD PROTECTION VIOLATIONS

Relevance for child protection	Tools
Multiple Indicator Cluster Surveys (MICS)	
<p>UNICEF-supported MICS surveys collect national data on child protection issues (including child discipline, birth registration, child labour, child marriage and attitudes towards domestic violence and FGM/C). In particular, the module on child discipline includes:</p> <ul style="list-style-type: none"> Questions addressed to an adult member of the household and ask about one randomly selected child aged 1 to 14 years in terms of whether any member of the household had used various disciplinary practices with that child during the past month Eight violent disciplinary practices: two psychological (such as shouting and name calling) and six physical (such as shaking, spanking and hitting with an implement). Three non-violent disciplinary practices (such as taking away privileges and explaining why something is wrong) An assessment of respondents' attitude towards physical punishment 	<ul style="list-style-type: none"> Information on methodology and tools for each child protection issue area. The country reports on this website may be especially useful. The MICS compiler allows users to search across surveys and indicators and display them in the form of tables, graphs and maps. List of core MICS indicators for child protection in Global Monitoring for Child Protection Brochure from Violence, Exploitation and Abuse, UNICEF. Questionnaires and indicator list for MICS 5.
Demographic and Health Surveys (DHS)	
<ul style="list-style-type: none"> Data first collected in 1984 Collect data on a range of issues, including data on domestic violence through an optional module for girls and women aged 15–49. Percentage of girls and women aged 15–49: <ul style="list-style-type: none"> who have ever experienced different forms of violence, by current age, since age 15; who experienced any physical violence in the past 12 months (age group 15–19 available); who have ever experienced physical violence during pregnancy; who have experienced sexual violence; whose first experience of sexual intercourse was forced, by age of first forced sexual intercourse; who have ever (including in childhood) experienced sexual violence and who experienced any sexual violence in the past 12 months (age group 15–19 available); percentage of ever-married girls and women age 15–49 years who have experienced physical, sexual or emotional violence committed by their current or most recent husband/partner, ever and any in the past 12 months; DHS also include questions related to child marriage and birth registration in their standard questionnaire. 	<ul style="list-style-type: none"> A compilation of DHS data can be found at MEASURE DHS Statcompiler.
Living Standard Measurement Studies (LSMS)	
<ul style="list-style-type: none"> LSMS surveys collect household data that can be used to assess household welfare, understand household behaviour, and evaluate the effects of various government policies on living conditions. Data on many dimensions of household well-being are generally collected, including data on migration, disability, child labour, caring for children, and domestic violence. 	<ul style="list-style-type: none"> The LSMS Survey Finder provides a list of all LSMS.



Statistical Information and Monitoring Programme on Child Labour (SIMPOC)

- SIMPOC is the statistical arm of **ILO's** International Programme on the Elimination of Child Labour (IPEC).
- SIMPOC assists countries in the **collection, documentation, processing and analysis of child labour relevant data** and to make available a wealth of statistical tools, data, reports, manuals and training kits.
- [SIMPOC survey reports](#).

Global School-based Student Health Surveys (GSHS)

- **School-based** surveys of children aged **13–15** developed by the **WHO and CDC**
- Not conducted at regular intervals but implemented **upon request from countries**
- One of the 10 core modules is on violence and unintentional injury and contains two questions about physical violence (experience of being physically attacked and involvement in physical fights in the last year) and two about bullying (frequency and type of bullying experienced in the past 30 days).
- In its **expanded version**, the GSHS questionnaire also includes questions on dating violence, physical attacks, sexual abuse, carrying of weapons, perception of safety and physical violence by teachers.
- Data can be accessed from the **[GSHS website](#)**.

Health Behaviour in School-aged Children (HBSC)

- **WHO** collaborative study with 43 member countries in Europe and North America and a network of more than 350 researchers
- Conducted at **regular** intervals (last round 2009–2010)
- **School-based** surveys of children (average sample size of 1,550 for each age group: 11, 13 and 15 year olds)
- The **standard HBSC** survey contains three questions related to violence against children: one about physical violence (involvement in physical fights) and two on bullying (being bullied and bullying others)
- Access to the **[HBSC data bank](#)** can be requested.

Source: Partly based on 'Measuring Violence against Children: Inventory and assessment of quantitative studies', United Nations Children's Fund, UNICEF, New York, 2014.

THE VIOLENCE AGAINST CHILDREN SURVEYS (VACS) CONDUCTED UNDER THE TOGETHER FOR GIRLS INITIATIVE

The Violence against Children Surveys (VACS) conducted under the Together for Girls initiative, a global public-private partnership that includes UNICEF, are **nationally representative household surveys targeting** 13–24 year old males and females. They have been designed to provide **prevalence of emotional, physical and sexual violence against boys and girls**. The surveys also collect data on risk and protective factors, as well as on the circumstances surrounding the experience of violence. These surveys can be a **key resource for impact and outcome indicators**.

Key principles to consider when undertaking the VACS:

- **Protecting and supporting** children and young adults who have experienced or are experiencing violence and request help must be a central consideration in the design of the study protocol and the implementation of VACS, and the highest possible **ethical standards** must be upheld during the preparation and implementation of the VACS.
- The data from VACS are intended to inform a policy and a comprehensive multi-sector programmatic **response**.
- The success of VACS is based on and built around strong engagement of in-country **partners** under the leadership of the **government** with participation from key civil society and development stakeholders.
- Building the **capacity** of national institutions needs to be an inherent part of the process ensuring ownership and sustainability of the processes.

The cost of conducting VACS has ranged from approximately US\$350,000 (however, the survey was limited to female respondents) to US\$1,000,000 (not including indirect costs). The average cost is around US\$650,000.

From surveys already carried out in Kenya, Swaziland, the United Republic of Tanzania and Zimbabwe, the following lessons can be drawn:

PURPOSE

- **Bring national, regional and international attention to the issue of violence against children and raise awareness about the different forms of violence:** Findings have provided the information needed to mobilize national multi-sector policies and programmes to prevent and respond to violence against children.
- **The sample size determines whether VACS data can be disaggregated to the sub-national level and thus used for targeting.** For example, while VACS have provided data at the national level, the samples used can be too small to be able to provide disaggregated data at the sub-national level for targeting and programme design.

PROCESS

- **Identify a lead ministry and ensure written commitment, and garner strong national ownership through a multi-sector task force, led by the designated ministry:** This will help to ensure national ownership of the findings and the report, and will facilitate the creation of a nationally owned, multi-sectoral advocacy and communications strategy based on the findings.
- **Hire a full-time survey coordinator to provide the necessary support to both the multi-sector task force and UNICEF.**
- **Develop close links with child protection systems mapping:** Several country offices were either in the process of conducting or had conducted a child protection systems mapping at the time of the survey. The survey has the potential to benefit from the child protection systems work and programming, particularly in relation to access to and demand for services (social, justice and health).

- **Engage a national institution with capacity/experience to carry out the national household survey** (e.g., national statistical offices who carry out MICS and DHS) **and strengthen capacity of national statistics agencies:** Country offices suggested including capacity-building of the relevant national statistics agencies, particularly in the ethics of conducting research with children, as a key objective prior to engaging in research and to clearly articulate how such capacity would be supported.

IMPLEMENTATION AND ANALYSIS

- **Improve/expand training of interviewers:** It was noted by country offices that the statistics agency often hired enumerators from existing pools of previous surveys. As a result, many interviewers had experience in interview procedures with the overall population, not in interviewing children on sensitive topics.
- **Map services and develop a referral protocol prior to the training of interviewers:** Some country offices proposed that the referral protocol/response plan (including the mapping of services) should be developed prior to conducting the training of interviewers. This will ensure that interviewers are clear from the beginning on their role and how exactly they will go about referring cases.
- **Engage an appropriate agency to provide counseling services:** To ensure a timely and effective response to survey respondents who request services, an appropriate agency needs to be identified and engaged early on in the process to provide quality support services, and which is endorsed by the government (if it is outside the government response).
- **Conduct literature reviews and qualitative research to inform the survey design:** Future surveys could benefit from having a more formalized literature review process conducted by the multi-sector task force at the onset of the survey process. Preliminary qualitative research would also be useful to better understand the country context and the stated needs of children. Based on the information gathered, stakeholders will then be better positioned to review survey tools and provide feedback. It was also noted that child protection staff would benefit from working more closely with UNICEF monitoring and statistics colleagues in these preliminary stages.

RESOURCES

- [List of published surveys and links to survey reports.](#)
- [*The Together for Girls Partnership: Linking violence against children surveys to coordinated and effective action \(Guidance Note\).*](#)
- [*Violence against Children in Tanzania: From research to action – Lessons learned.*](#)

EXAMPLES

- [*A National Study on Violence against Children and Young Women in Swaziland*](#), UNICEF, October 2007.
- [*Violence against Children in Tanzania: Findings from a national survey 2009*](#), UNICEF, U.S. Centers for Disease Control and Prevention, and Muhimbili University of Health and Allied Sciences, August 2011.
- [*Violence against Children in Kenya: Findings from a 2010 national survey*](#), UNICEF, National Center for Injury Prevention and Control, U.S. Centers for Disease Control and Prevention and the Kenya National Bureau of Statistics, 2012.

RESOURCE

- An overview of **quantitative studies on violence against children** can be found in *Measuring Violence against Children: Inventory and assessment of quantitative studies*, UNICEF, New York, 2014.

B. Country-specific surveys (not part of international survey programmes)

Country-specific surveys on child protection and particularly on **violence against children** are rare. When such surveys have been implemented, different definitions and tools have been used which have generated data of varying quality and made comparisons

DATA REPOSITORIES

Data from surveys and/or other sources can also be accessed through thematic **databases**.

TABLE 5: EXAMPLES OF DATABASES WITH DATA ON CHILD PROTECTION AT THE GLOBAL AND REGIONAL LEVEL

Data source	Content	Tools
UNICEF Data: Monitoring the Situation of Women and Children	This website provides access to data, analyses and publications on the situation of children and women, including in relation to child protection issues, such as child marriage, FGM/C, child labour, birth registration and violence.	Databases are available for the below child protection issues (under the 'Access the data' tabs of the web pages): <ul style="list-style-type: none"> Birth registration Child labour Child marriage Female genital mutilation/cutting Child discipline Sexual violence Attitudes towards domestic violence
TransMonEE	TransMonEE contains 400 national economic and social indicators in countries of Central and Eastern Europe and the Commonwealth of Independent States (CEE/CIS) . One of the 10 topics covered is child protection and it includes several specific indicators, such as the number of children in residential care. Key indicators on juvenile justice are also covered.	<u>TransMonEE</u> databases are available in Excel.
Understanding Children's Work (UCW)	Data and analyses are available on child labour and related indicators .	< www.ucw-project.org/Pages/ChildLabIndicator.aspx >
YouthSTATS	YouthSTATS is a database developed by International Labour Organization and UCW on the labour market situation of young people between the ages of 15 and 29 years in the developing world. It brings together data from labour force surveys, household income and expenditure surveys, living standards surveys and child labour surveys.	< www.youthstatistics.org/database.aspx >
Global Health Observatory	WHO's Global Health Observatory is a data repository on priority health topics, including statistics on homicides, child maltreatment and intimate partner violence .	< apps.who.int/gho/data/node.main >
Together for Girls – Data and Resources	This website provides country reports from countries that have undertaken Violence Against Children Surveys as part of the Together for Girls Initiative.	< www.togetherforgirls.org/dataresources.php >



across countries and over time problematic. A review and an assessment of quantitative studies on violence against children commissioned by the Child Protection Monitoring and Evaluation Reference Group (CP MERG) Technical Working Group on Violence against Children in 2012 identified 38 national studies with a focus on violence against children.²⁶ Out of 38 studies, 34 were conducted only once, which makes the data of very limited use for monitoring change over time. Studies typically lacked a clear theoretical **research framework**. Key terms were often defined on an ad hoc basis and were unique to each study, thus making comparisons across geographic areas and over time difficult.

C. Administrative data and information systems

Administrative data are primarily collected for the purpose of carrying out various nonstatistical programmes. For example, administrative records are maintained to document and respond to child protection cases, or to respond to the legal requirements of registering particular events such as births and deaths. They can capture a wide range of different information (inputs, budgets, costs, access, events, use, outputs, outcomes, etc.).

Official administrative data on child protection can be obtained from **governmental agencies and programmes**, the private sector, and from **NGO programmes**. The following are examples of useful **sources of administrative data** for child protection:

- **Case management systems**, which support the process of assisting an individual child and their family through direct support and referral to other needed services; they typically include the activities that case workers, social workers or other project staff carry out.
- **Information Management Systems for child protection** (full or partial),²⁷ **health** (including data from health centres), **education** and **child labour**
- **Injury surveillance systems**, whether specific (e.g., weapons-related injury) or more general (all injuries)

²⁶ The Technical Working Group is part of the Child Protection Monitoring and Evaluation Reference Group.

²⁷ An integrated set of processes for the routine collection, analysis and interpretation of data used in the planning, implementation and evaluation of child protection programming. Child Protection Information Management Systems can also include case management data.

TOOL

- The Inter-Agency Child Protection Information Management System is a practical, field-level tool that supports effective case management. It is comprised of database software and accompanying tools such as template paper forms and data protection protocols. The system is promoted by Save the Children, the International Rescue Committee and UNICEF since 2005. It was designed to be used in emergency settings, but has been revised and can be used in non-humanitarian settings. It is currently implemented in 20 countries, mainly emergency.

- **Criminal and police statistics, Criminal Data Management Systems and police monitoring cell for trafficking**
- Routine monitoring data from **courts**
- **Civil Registration and Vital Statistics** information systems
- Project data (e.g., from monitoring), databases, (raw) survey data, financial data, or other administrative data from international or national **NGOs** working on child protection, including as UNICEF partners
- **Monitoring and reporting mechanism** on serious violations of child rights, based on Security Council Resolution 1612²⁸

RESOURCES

- ***Regional M&E Systems Mapping and Assessment Guide for Child Protection***, UNICEF East & Southern Africa Regional Office, 2015, provides guidance on mapping and assessing administrative data sources on child protection.
- **Child Helpline International** collects highly disaggregated **child helpline data** on the number and character of calls by country and region.

EXAMPLE

- ***Child Helpline Data on Abuse and Violence*** from 2012 and 2013, Child Helpline International.

In the absence of accurate and detailed data, administrative data can often serve as a **proxy (i.e., indirect) measurement** of child protection violations or causal factors. For example:

- Data from **health centres** is potentially useful for triangulation or as a proxy indicator,²⁹ especially if they cover a particular response linked to child protection. For example, the **2009 Kenya situation analysis** used data from the Gender Violence Recovery Centre of the Nairobi Women's Hospital, and triangulated it with survey data, caseload reports and official reports of the Kenya Police to establish changes in violence over time.³⁰
- Data from **child helplines** can be useful, for example, to triangulate information from other sources like surveys and police data. In the absence of any other data, they could also be reviewed for a basic, highly aggregated analysis³¹ and/or to establish trends over time.³²

It is important to note that helpline, injury surveillance and health centre data reflect bias from usage: they only capture cases that have been reported or detected or for which services were sought.

²⁸ Access to the data is restricted.

²⁹ Triangulation is the comparison of two or more data sources to validate results.

³⁰ The triangulation should also take into account that both helpline and health centre data reflect bias from usage. Users will be different from nonusers in ways that mean the interpretation of profiles needs to be carefully done.

³¹ The number of calls depends on a number of factors, such as the human resources of the helpline, their opening hours and referral mechanisms. Due to their dependency on the context, the data usually cannot be used to make comparisons between geographic areas, cities, countries or regions.

³² Trends over time, however, are not always linear. For example, increased awareness on child rights can lead to an initial increase in calls to helplines, followed by a subsequent drop in calls after some years when violations start to decrease.



CHILD PROTECTION INFORMATION MANAGEMENT SYSTEMS

A Child Protection Information Management System (CP IMS) is an **integrated set of processes for the routine collection, analysis and interpretation of data** relevant for the protection of children.

An **internal information** system records data on children's contact with social services, the courts, and/or the police. The information collected is typically scattered, unsystematic and insufficiently disaggregated.

National routine monitoring systems aim at organizing existing systems of recording and internal archiving of individual files to extract information and statistical data, and establish national trends. National systems typically contain four kinds of data:

- **Prevalence of risk factors** (e.g., root causes of protection vulnerability)
- **Prevalence of cases** (e.g., magnitude of a given protection problem)
- **Case management and coverage** (e.g., detailed information on children in the system, and percentage of all children in need of protection or prevention services who have entered the system)
- **Evaluation** (e.g., evidence on effectiveness of interventions based on outcome and/or impact assessments)

A functional CP IMS requires organizational and staff **capacity** for data collection and analysis. It also requires timely **dissemination** of information to those who can undertake effective prevention and response activities.

In countries affected by an **emergency situation**, four main types of CP IMS can be used: (a) the MRM on serious violations of children's rights (MRM 1612), (b) cross-regional integrated information systems on rights abuses in border areas, (c) Truth and Reconciliation Commissions, and (d) inter-agency systems of monitoring and information management such as IA CP IMS and Gender-Based Violence Information Management System (GBVIMS).

RESOURCES

- *Regional Review of Child Protection Information and Monitoring Systems in West and Central Africa*, UNICEF, March 2009.
- *Inter-Agency Child Protection Information Management System*, UNICEF/IRC/Save the Children.
- *Child Protection Information Management Mapping: Towards a data surveillance system in Indonesia*, UNICEF, Columbia University, and Universitas Indonesia, 2009.
- *Support in Development of Child Protection Information Management Systems (CPIMS)*, UNICEF Thailand, May 2011.
- *Situation Analysis of National and Local Level Child Protection Information System*, draft, UNICEF Philippines, 2013.



RESOURCES

- An overview of qualitative methods used by UNICEF and partners can be found in **Qualitative Research Methods for Use in Equity Focused Monitoring**, UNICEF, New York, 2014.
- Several ideas and approaches to include children in research are included in the **Child Participation Toolkit**, Ministry of Community Development, Gender and Children, Dar es Salaam, United Republic of Tanzania, 2012.
- UNICEF staff have access to a number of journals that regularly publish on issues related to child protection.

D. Qualitative data sources

Qualitative data can describe in depth the lived experiences of individuals, groups or communities. Qualitative data on child protection can be useful to validate and complement the data from quantitative sources. The following are examples of useful sources of qualitative data for child protection: **ethnographic studies, case studies, key informant interviews, focus group discussions, life histories, field notes, photographs, video or audio sources, participatory rural appraisals, media reviews, participant observations, most significant change method, transect walks, outcome mappings, card sorting, pocket voting**.³³

Qualitative data on manifestations of violence, exploitation, abuse or neglect of children can be obtained from a **variety of sources**. These typically include:

- a. Publications and unpublished material, also referred to as 'grey literature' (e.g., focus group discussions) from **government programmes, NGOs, multinational and bilateral organizations** working on child protection, including research and evaluation reports
- b. **Peer-reviewed journal articles**, including ethnographies and anthropological work relevant to child protection
- c. Published and unpublished articles or books (e.g., Ph.D. theses) from **national universities and institutes**

E. Other sources

Additional potential sources of quantitative or qualitative data on violence, exploitation, abuse and neglect, and the prevalence and contexts of child protection violations are:

- **Country reports on internationally agreed conventions, treaties and targets**, including state party reports to the UNCRC, the follow-up report to the United Nations Secretary-General's global survey on violence against children report (see 'Toward a World Free from Violence: Global survey on violence against children'),³⁴ concluding observations and recommendations of the Child Rights Committee and other relevant committees such as the CEDAW Committee, alternative reports submitted by

³³ For an explanation of the most significant change method see United Nations Children's Fund, Qualitative Research Methods for Use in Equity Focused Monitoring, UNICEF Programme Division, 2014, UNICEF.

³⁴ <srsq.violenceagainstchildren.org/sites/default/files/publications_final/toward_a_world_free_from_violence.pdf>.



NGOs and/or independent national human rights institutions, and reports of country visits by Special Rapporteurs, Special Representatives, and/or independent experts.

- **Assessments, reviews and studies**, etc., of international and national **NGOs** or **academia** working on child protection or related areas
- **Programme and project reports, rapid and humanitarian assessments, field visits, reviews and evaluations** from UNICEF (including previous situation analyses), other United Nations agencies (such as through United Nations theme groups on child protection), other bilateral or multilateral organizations and NGOs
- Data and information provided by UNICEF colleagues from sectors **closely linked to child protection** (especially education, health, HIV)

RESOURCES

- **Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)**, United Nations Office of the High Commissioner for Human Rights.
- **Convention on the Rights of the Child (UNCRC)**: States must report initially two years after acceding to the Convention and then every five years. The Committee on the Rights of the Child monitors its implementation as well as two optional protocols on involvement of children in armed conflict and on sale of children, child prostitution and child pornography.
- **Child Rights Situation Analyses by Save the Children** can be found for various countries on Save the Children's Resource Center.
- **Young Lives surveys**, including their longitudinal qualitative research.

DATA MINING AND 'BIG DATA'

Data mining involves discovering previously unknown **new patterns in large data sets**. Spatial data mining combines large-scale data with a Geographic Information System.

Typically, survey or census reports sum up and aggregate data collected. It is often worth **revisiting the raw data** and examining it **for new information** related to child protection. Some data might be collected but for various reasons not included in official reports. Analysing the raw data might also reveal more disaggregated information on subgroups. The Zimbabwe Country Office, for example, conducted an extensive in-house review of secondary raw data from already existing national surveys. This informed the development of a new child protection programme and the design of new primary data collection.

However, revisiting raw data can have a number of **limitations**: It can be limited by the sampling frame as well as size and selection biases.

Further, data mining can be limited by 'small numbers' (the requirement to report t-tests and to assess confidence intervals to ensure significant difference between subgroups).

Big data are very large and/or complex data sets that are difficult to analyse using traditional data processing applications and tools, such as call logs, mobile banking transactions, user-generated online content such as blog posts, Facebook content, tweets, online searches and satellite images. Turning this data into actionable information requires using computational techniques to unveil trends and patterns within and between these extremely large datasets. New insights gleaned from such data mining should complement official statistics, survey data, and information generated by Early Warning Systems, adding depth and nuances on human behaviours and experiences, and doing so in real time, thereby narrowing both information and time gaps.

RESOURCE

- **Big Data for Development: Challenges & opportunities**, UN Global Pulse, May 2012.

GATHER DATA ON CAUSES OF VIOLENCE, EXPLOITATION, ABUSE AND NEGLECT

In addition to collecting information on the manifestations of violence, exploitation, abuse and neglect, we want to know **what protective factors *should be in place*, to what extent they *are in place*, and how well the issues *are being addressed***. This includes collecting information on **risk factors**.

What protective and risk factors we assess and measure, and how, will vary according to the issues, context and availability of data. As a general example, **the following issues may be included, as referenced in the sample analytical framework presented at the end of STEP 1:**

- Prevention and response services for child protection (supply (availability & access), demand (use/acceptability), quality)
- Care and protective practices at family and community level
- Government commitment and political leadership for child protection
- Capacities of those in contact with the child
- Children's knowledge and skills
- Social norms and socio-cultural beliefs
- Socio-economic, political, demographic and historical context

TOOLS

- Domains 3, 5, and 6: Human resources for child protection; Child protection system coverage; Surveillance, gatekeeping, referral and quality assurance in *Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and the Pacific*, UNICEF, 2012.
- Structures, Functions and Capacities Tool, Continuum of Care Tool, and Children and Justice Tool, in *Child Protection System: Comprehensive mapping and assessment toolkit*, Maestral International.

A. Prevention and response services for child protection (supply (availability & access), demand (use/acceptability), quality)

- Availability: Are there services in place? What kind of services? Is there a comprehensive set of quality services and interventions to prevent and protect all children from violence, exploitation, abuse and neglect and unnecessary family separation? Are services connected and how? Is staffing of the services adequate? Is there adequate and appropriate infrastructure and equipment?
- Consider both prevention and response services including continuum of care services from entry to exit (processes of identification, reporting, referral, investigation, assessment, treatment and follow up, including re-integration with family or placement in alternative family based care as relevant); Justice for children services; Civil registration services; basic social



services and transfers (education, early childhood development, health, social protection)

- **Access:** To what extent are children and families – including the most vulnerable – able to access these services? Do all children/families have **access** to them, including equitable geographic access? Are any groups excluded? How are services and interventions spread geographically? Are they de-centralized? If access to social protection is not universal, what are the criteria for accessing it?
- **Use/Acceptability:** To what extent are the most vulnerable children and families using these services when they are available and accessible? (e.g., applying for birth certificates; visiting one-stop centers for cases of violence, participating in child friendly spaces, participating in parenting programmes, reporting to child helplines, etc.) Does the service delivery reflect the needs, expectations and social norms of users? (see section on Social Norms below)
- **Quality:** What is the quality of the services (and against what criteria is this being assessed?)
- **Typical data sources** are administrative data from social protection, education, health and birth registration. For example, decentralized **social services** record cases of individuals or children in difficult situations and/or those who are being assisted. The data are usually forwarded to and collated at the regional and central level.

DATA SOURCES

- The **police force** usually has procedures for registering and archiving files related to violence or abuse. The availability of detailed crime statistics varies from country to country. The Domestic Violence and Victim Support Units in Ghana, for example, consist of a network of police units that respond to domestic violence and provide victim support. Recording of cases, however, is haphazard: a patchwork of concepts, collection formats and archiving methods, and no systematic disaggregation of data.³⁵
- **Judicial services** usually register and archive files of children in conflict with the law.
- **MICS and DHS modules** on education, health and birth registration and **TransMonEE**.
- **ASPIRE:** The atlas of social protection indicators of resilience and equity, The World Bank, is a compilation of global social protection and labour estimates, including coverage rate of social protection and safety net programmes.

EXAMPLE

- ***Global Initiative on Out-Of-School Children: Ghana country study***, UNICEF and UNESCO, 2012.

³⁵ 'Report of the Mapping and Analysis of Ghana's Child Protection System', Child Frontiers, 2011.

RESOURCES

- *What Are We Learning About Protecting Children in the Community? An inter-agency review of the evidence on community-based child protection mechanisms in humanitarian and development settings*, Save the Children, 2009.
- *An Ethnographic Study of Community-Based Child Protection Mechanisms and their Linkage with the National Child Protection System of Sierra Leone*, The Columbia Group for Children in Adversity, July 2011.

RESOURCES

- A list of 31 conventions which are potentially relevant for child protection can be found in the **Global Context Tool**, in Child Protection System: Comprehensive mapping and assessment toolkit, Maestral International.
- **UN Convention on the Rights of the Child** (UNCRC).
- **Committee on the Elimination of Discrimination against Women** (CEDAW), Status of ratification, reservations and declarations.
- **Convention on the Rights of Persons with Disabilities**, Status of ratification, reservations and declarations.
- **Measuring and Monitoring Child Protection Systems: Proposed Regional Core Indicators for East Asia and Pacific, Domain 1, Child Protection Policy Framework**, UNICEF, 2012.

B. Care and protective practices at family and community level

- What **community based child protection mechanisms** exist? How are these functioning and what is the quality? How are they impacting on child protection? Are these linked to the more formal child protection system?
- What **traditions or practices** exist at community and family level that promote or undermine child protection?

C. Government commitment and political leadership for child protection

Legislation/policy

- Which **international conventions** has the country **ratified**? Did the country enter any **reservations** or **declarations**? To what extent have international conventions been **translated** into national laws and policies? Are **implementation** mechanisms, services and structures in place? To what extent does the country **report** on international conventions in line with reporting requirements?
- What are the **national legislation** and policies in place concerning child protection? What are the legislation and policies on **social welfare, justice, security** relevant to child protection? What are the **civil** laws and policies (e.g., birth registration, parental responsibilities, children without adequate family care or alternative care, domestic violence, child labour, child marriage, gun/arms control)? What are the **criminal** laws and policies relevant to child protection (child trafficking, commercial sexual exploitation, physical, sexual and psychological abuse of children and severe neglect, juvenile justice, FGM/C, etc.)?³⁶
- **Are there any national plans of action** relevant for child protection? (either plans or policies specific to child protection, or relevant plans or policies into which child protection considerations are integrated. For instance, does the National Plan for Persons/Children with Disabilities address child protection risks?). Are implementing mechanisms in place?

³⁶ Information on legislation and policies will likely be organized by child protection issues, as this is how legal norms are often prepared, defined and coordinated.



- What are the **customary, personal or religious laws** that relate to child protection (e.g., in some contexts, for instance, religious laws are more important than generally applicable national legislation, and may regulate issues such as marriage, guardianship, parental rights, inheritance, and the dispensation of justice).



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TOOLS

- **Policy Context Tool**, in *Child Protection System: Comprehensive mapping and assessment toolkit*, Maestral International.
- **Domain 1, Child Protection Policy Framework**, in *Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and the Pacific*.
- **Child Marriage and the Law, Legislative Reform Initiative**, Paper Series, UNICEF, 2008.
- **Legislative Reform on Child Domestic Labour: A gender analysis**, Legislative Reform Initiative Paper Series, UNICEF, 2007.
- **Legislative Reform for the Protection of the Rights of Child Victims of Trafficking**, UNICEF, 2008.
- **Legislative Reform on Selected Issues of Anti-Gender discrimination and Anti-Domestic Violence: The impact on children**, Legislative Reform Initiative, UNICEF, 2009.
- **Legislative Reform to Support the Abandonment of Female Genital Mutilation/Cutting**, UNICEF, 2010.

EXAMPLES

- An example of a structured and thorough **legal analysis** as part of a UNICEF Situation Analysis can be found in *An Analysis of the Situation of Children & Women in Cambodia*, UNICEF, 2009, pp. 163–170.
- An example of a stand-alone legal analysis is *Legal Analysis of the Child Protection System in Tajikistan*, Children's Legal Centre, 2008.
- An analysis of the relation between customary law and practice and child protection can be found in *An Exploratory Study on the Interplay Between African Customary Law and Practices and Children's Protection Rights: Focus on South Africa and Zambia*, Save the Children Sweden, 2011.

EXAMPLE

- **Social Welfare Sector: Budget Brief 2012**, UNICEF Mozambique, 2012.

TOOLS

- **Annex 2: Importance and Difficulties of Assessing the Policy Basis of a Country's Budgeting for Child Protection**, in *Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and Pacific*, UNICEF, 2012.
- **Resource Mobilization and Fiscal Accountability Tool**, in *Child Protection System: Comprehensive mapping and assessment*, Maestral International. **Domain 2, Public Financial Management**, in *Measuring and Monitoring Child Protection Systems: Proposed Regional Core Indicators for East Asia and the Pacific*, UNICEF, 2012.
- **Budget for Children Analysis: A beginner's guide**, Save the Children Sweden and HAQ Centre for Child Rights, 2010.

Budget/expenditure

- What is the annual **budget allocation and expenditure** for child protection? Are adequate resources available for implementation of legislation, policies and action plans? What does the **Medium-Term Expenditure Framework** (where it exists) include on child protection? Are there any **costed strategies** for child protection? What is the contribution of **donors** to the budget and expenditure on child protection? Is there any **off-budget financing**³⁷ for child protection?³⁸

HOW TO TRACK EXPENDITURE ON CHILD PROTECTION OVER TIME

To track expenditure on child protection in a country over time, we should primarily use **per capita real spending in the home currency**:

- a. Using the expenditure *per person* makes resources **comparable over time**, even if the population goes up or down (and it is more intuitive than overall figures).
- b. Using **real** instead of nominal expenditure adjusts the numbers for the **effect of general inflation**, especially high inflation. We would otherwise see an increase in nominal expenditure in child protection, even if the actual real figures have declined.

For international **comparison**, however, we should instead use per capita real spending in **Purchasing Power Parity** to make a common currency for international comparisons. Purchasing Power Parity is a technique used to determine the relative value of currencies by adjusting the exchange based on the currencies' purchasing power.

³⁷ Strictly defined, off-budget expenditures refer to financial transactions that are not accounted for in the budget. Off-budget expenditures can apply to direct spending by government ministries, but they are more likely to involve special transactions such as the activities of public enterprises, credit provided or guaranteed by government, or subsidies channelled through the tax system. Due to their special characteristics, they are often excluded from regular accounts.

³⁸ Country offices should engage in analysis of budget allocation to child protection throughout the country programme. There is an increased focus on this in the new Strategic Plan (2014–2017).



Management/coordination

- What are the **state institutions** responsible for child protection? What are their responsibilities? What are the **responsibilities** of different **ministries** with regard to child protection? What are the **partnerships** and **coordination mechanisms** for child protection or relevant to child protection (e.g., coordination mechanism on children with disabilities, mine action, etc.)? How are these partnerships and coordination mechanisms functioning? What powers are **delegated** and to whom?

Data collection, analysis and use

- What data on child protection are **available**, what **systems** are in place to collect data? How are data **organized**? To what degree can/are data **disaggregated**? Is data relevant to child protection sufficiently **consolidated at the national level** to enable analysis and policy-making for child protection? What are the data **flows** from different levels (e.g., are there reliable and consistent mechanisms to channel sub-national data to the central level)? What are the **quality** of the data? How are data on child protection **analysed**, what **measurements** are **used**, and are the data actually used for more effective policies, services and interventions? Are the tasks of **staff** involved in data collection and reporting clearly specified? Are staff who collect data on children **trained** on ethical, safe and secure data collection and management? How are child protection programmes **monitored** and **evaluated**? How is **oversight** provided to reinforce accountability?

TOOL

- **Structures, Functions and Capacities Tool**, in *Child Protection System: Comprehensive mapping and assessment*, Maestral International.

TOOLS

- *Domain 3, Statistics and Information, in Measuring and Monitoring Child Protection Systems: Proposed Regional Core Indicators for East Asia and the Pacific*, UNICEF, 2012.
- *Data for Decision Making (Public Accountability) Tool, in Child Protection Comprehensive Mapping and Assessment Toolkit*, Maestral International.
- *Regional M&E Systems Mapping and Assessment Guide for Child Protection*, UNICEF Regional Office for Eastern and Southern Africa, 2015, provides guidance on mapping and assessing administrative data sources.

D. Capacities of those in contact with the child

- What are the **capacities, knowledge, motivation and support** needed and obtained by families, **community members and the social service workforce**³⁹ including teachers, health and social workers, police and other relevant security and justice sector staff, communicators and community mobilizers in order to prevent and respond to various forms of violence, exploitation, abuse and neglect?
- To what extent are sensitive issues related to child protection discussed in families and communities? How open are such discussions? Are there issues that are 'no go' topics?

³⁹ Social service workforce is used broadly to describe a variety of workers – paid and unpaid, governmental and non-governmental – who staff the social service system (child justice, child care, etc.) and contribute to the care of children and their families.

TOOLS

- **Domain 3, Human Resources for Child Protection**, in *Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and the Pacific*, UNICEF, 2012.
- **Systems Structures, Functions and Capacities** tool and Community Structures, Functions and Capacities tool, in *Child Protection System: Comprehensive mapping and assessment toolkit*, Maestral International.

EXAMPLES

- **Promising Practices in Community-Based Social Services in CEE/CIS/Baltics: A framework for analysis**, USAID, 2005.
- **Human Capacity within Child Welfare Systems: The social work workforce in Africa**, USAID, 2009.
- **An Ethnographic Study of Community-Based Child Protection Mechanisms and their Linkage with the National Child Protection System of Sierra Leone**, The Columbia Group for Children in Adversity, 2011.
- **Young Lives** is an international study of childhood poverty, involving 12,000 children in four countries, spread over 15 years.
- Using panel data from Peru, this paper explores whether sickness, female headship, access to infrastructure and employment of women in the household have different impacts on the time use of boys and girls: **Children's Work and Schooling: Does Gender Matter? Evidence from the Peru LSMS Panel Data**, Policy Research Working Paper No. 2745, The World Bank, 2001.

Examples of questions to guide data collection on human resources for child protection

Regulations and standards for social work professionals

- Is there a certification, accreditation or licensing process for social workers, other professionals or volunteers who work with children?
- Is there a system of regular performance evaluation for all civil service staff working on child protection linked to practical measures affecting staff compensation and continued training?

Professional training for personnel working on child protection service delivery

- Is there a university or other academic degree programme in social work whose curriculum includes courses on social services, developmental issues, protective and preventive topics and therapeutic interventions?
- Is there a vocational qualification programme in social work or child development whose curriculum is approved by relevant authorities?
- Is there a system of accreditation of social work skills which is based on competency tests within relevant training programmes?
- To what extent does the training curricula for education workers (such as teachers), health professionals, police and other relevant security and justice sector personnel and/or other professionals include issues related to preventing and/or responding to abuse, violence, neglect and exploitation of children?
- Is there a specific training programme for staff within the ministries with lead interior and home affairs role and lead justice roles on children and justice?

Government's capacity to attract qualified child protection professionals

- What is the average wage of staff working on child protection (across all ministries) as a percentage of the average public sector wage (weighted to ensure comparability of grades)?

Government's capacity to retain qualified child protection professionals

- What is the annual turnover within civil service/public sector jobs with responsibility for child protection?

Diligence of staff working on child protection

- What are the average absenteeism rates in representative samples of different cadres of staff working on child protection?

Overall size of civil service/public sector staff with responsibility for child protection

- What is the ratio of social workers with responsibilities for child protection (e.g., service delivery personnel) per head of the child population?
- What is the gender distribution of social workers, health workers, police, etc.

Source: Partly based on Domain 3, Human Resources for Child Protection, in 'Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and the Pacific', UNICEF, 2012, pp. 39–43, <www.unicef.org/eapro/Measuring_and_monitoring.pdf>.



- How do households, including children, manage, adapt and cope with risk? How are **children** affected?⁴⁰

E. Children's knowledge and skills

What are children's knowledge and skills as **actors** (albeit often constrained) in **their own protection** and in **avoiding and responding to risk**? This refers to information about children's life skills, their access to information, their ability to express their views, their opportunities for association and safe spaces, etc. Information is typically collected through specific quantitative research and quantitative studies like case studies, focus group discussions, and key informant interviews. Larger studies such as the **Young Lives study** of childhood poverty combine **quantitative** methods – a longitudinal survey of two cohorts of children totalling 12,000 children and their primary caregivers – with **qualitative** methods with subsamples of children, their primary caregivers and other members of their communities who have a role in children's well-being and development.⁴¹

F. Social norms and socio-cultural beliefs

What are the **social norms and socio-cultural beliefs** that (a) contribute to manifestations of violence, exploitation, abuse, neglect and to unnecessary family separation; (b) help to prevent them?

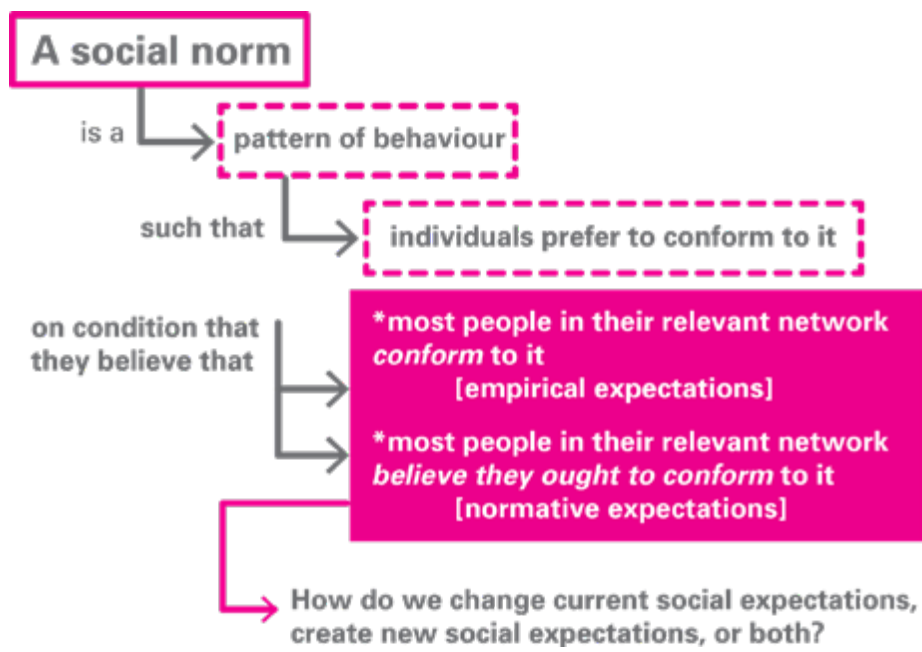
Beliefs, behaviours and practices can be driven by **social norms** (i.e. 'social pressure') or by **other factors** such as moral or legal norms or economic factors. They can also be driven by individually held beliefs that are not a result of 'social pressure'.

Identifying and understanding social norms helps design **more effective interventions**, and the measurement of social norms (and change in norms over time) allows for more comprehensive evaluation of programme success.

- What are the beliefs, behaviours and practices that are driven by **social norms**, i.e., social pressure?

⁴⁰ Data on this are most likely based on survey questions using a recall method or longitudinal evidence.

⁴¹ For details see 'Young Lives – An international study of childhood poverty', <www.younglives.org.uk>.



Source: 'What are Social Norms? How are They Measured?', Working Paper, UNICEF and University of California – San Diego Center on Global Justice, 2012.

Typically, social norms are identified and explored through **qualitative research and studies** like ethnographies, case studies, focus group interviews and expert interviews. Qualitative research is useful for obtaining rich, nuanced information of behaviour (individual or collective), attitudes, and opinions. It is often easier to elicit community input on norms and practices through qualitative tools like interviews, focus groups, or other interactive small group sessions.

To obtain **quantitative information** on beliefs, behaviours and practices would require specific methods such as Knowledge, Attitudes and Practice (KAP) surveys or opinion polls.⁴² Quantitative sources are particularly useful if conducted *repeatedly* before, during and after an intervention to empirically track how attitudes and practices are changing over time. However, surveys need to be carefully designed since *direct* questions about the existence of social norms will not often yield credible results (individuals who conform to a social norm might often not be aware of it). To properly capture a social norm, we need to collect information about two separate **dimensions**: (a) what do individuals believe most people in their relevant network *conform* to (empirical expectations)? and (b) what do individuals *believe* most people

⁴² The Gallup World Polls are an example of measuring and tracking behaviour and attitudes.



in their network believe they ought to conform to (normative expectations)?

Most surveys have not collected data specific to social norms, mostly due to the lack of validated tools for data collection. This requires us to **analyse data gathered for other purposes** with a social norms perspective and look for indirect measures of personal beliefs and behavioural expectations. For example, an analysis of existing data from MICS and DHS can be useful.⁴³ While these data will not establish the presence of a social norm, they can suggest where a more rigorous inquiry can be undertaken. There are **four sets of data** in MICS and DHS that can be looked at to indirectly detect the possible existence of a social norm: high spatial or ethnic variation in a practice, high discrepancy between attitude and behaviour, comparative persistence of the practice, or comparatively rapid shift in the practice.

TABLE 6: FOUR SETS OF DATA FROM MICS AND DHS THAT MIGHT INDICATE THE PRESENCE OF A SOCIAL NORM

'Pointers' for a social norm	Rationale	Example	Limitations
High spatial or ethnic variation in a practice	If prevalence of a practice is very high in one place or ethnic group, and very low in another one 'nearby', that suggests the possibility of a social norm. The more fine-grained and disaggregated the data, the more suggestive the indication.	DHS and MICS data in India show a great variety in the prevalence of child marriage according to state and group.	Assumes geographic proximity, ethnicity and/or religious affiliation correspond to real social relations.
High discrepancy between attitude and behaviour	If many people oppose a practice, but nevertheless follow it, that suggests the possibility of a social norm.	Among caregivers opposed to physical punishment of children, 50 per cent nevertheless physically punish children.	Findings are merely suggestive. Discrepancies could be due to any number of causes.
Comparative persistence of a practice	Longer persistence of a practice could be defined by comparison to the shorter persistence of other practices, especially those which normally change rapidly with other 'modernization' variables.	No meaningful variation in the prevalence of FGM/C has occurred, while education among female household members has increased.	Findings are merely suggestive. Contrasts could be due to any number of causes.
Comparatively rapid shift of practice	A rapid shift in practices may indicate the existence of a strong social norm. The strength of the norm may have both maintained the practice over long periods of time and contributed to its rapid disappearance within a population.	Foot binding in China lasted for 1,000 years, but ended in a single generation.	Findings are merely suggestive. Contrasts could be due to any number of causes.

Source: Adapted from 'What are Social Norms? How are They Measured?', Working Paper, UNICEF/University of California – San Diego Center on Global Justice, 2012.

43 Two potentially useful indicators in the MICS standard modules refer to attitudes on domestic violence and FGM/C.

TOOLS

- Monitoring and Evaluating Advocacy: Companion to the Advocacy Toolkit, UNICEF, 2010.

DATA SOURCES

- Information by country and programme, UNICEF.
- The State of the World's Children reports, UNICEF.
- Regional, national and local Human Development Reports, UNDP.
- Data, The World Bank.

- **What are the beliefs, behaviours and practices that are not driven by social pressure?** 'Socio-cultural practices and beliefs' are those driven by one's personal beliefs, and **not**, as in the case of social norms, by social pressure from others. For example, regardless of what other parents believe or do, a parent may use corporal punishment because she or he thinks it is the most effective way to discipline children. It can be important to make the distinction between social norms and socio-cultural practices and beliefs because the respective interventions could differ. For example, if widely felt social pressure is a driving factor for the prevalence of corporal punishment, an awareness raising campaign on corporal punishment may not be enough to change individuals' practices. Interventions may need to go one step further to ensure that a critical mass of people are aware that others have changed their beliefs about corporal punishment, in order to incite widespread changes in the actual practice.⁴⁴

G. Socio-economic, political, demographic and historical context

What are the larger **socio-economic, political, demographic and historical factors and context** in which these forms of violence, exploitation, abuse and neglect are occurring? How is this impacting on child protection? This includes information about:

- **Historical** context, **political** and **religious** factors, **power** and **gender** structures, **economic** structure and trends, inequalities in **income** and/or **consumption**, **poverty** levels, **urbanization**, **migration**, **age demographics**, etc.
- The **interactions and interdependencies** between different components of the child protection system, **power relations**, and **who makes decisions** or **controls resources**.
- Risk and occurrence of conflict and natural disasters
 - Multi-Cluster/Sector Initial Rapid Assessment (MIRA), IASC, 2012.
 - Child Protection Rapid Assessment Toolkit, Child Protection Working Group, 2012.

44. Attributing causation to social norms should be done extremely carefully because other factors may be confounding a purely bivariate observation.



H. Mappings and assessment of child protection systems

Mapping and assessments of child protection systems can help to identify and analyse many of the protective and risk factors noted above and components of various mapping and assessment tools have been referenced where relevant. The systematic **mapping** of a country's child protection system can enable collection of **information on all the components and actors and their interaction** in a highly structured manner. It can be used as a basis – together with other relevant tools and resources – for analysing the causes of violence, abuse and exploitation of children. For more information and resources on child protection systems in general, please see [STEP 1](#).

TABLE 7: OVERVIEW OF CHILD PROTECTION MAPPING TOOLS

What do you want to do?	Tool	Summary	Methodologies used in toolkit	Resources
Conduct a comprehensive and full mapping of a country's child protection systems	Child Protection System: Comprehensive mapping and assessment (Maestral International)	The toolkit allows countries to undertake a thorough mapping of their child protection systems, and to obtain a clearer picture of the strengths and gaps in those systems. The tool requires robust human and financial capacity as well as some degree of expertise in systems thinking and different kinds of data-gathering methods.	Questionnaires, checklists, focus groups, interviews, examples of promising practices and lessons learned. The toolkit lays out key questions, benchmarks and standards for assessing child protection systems in any country, and offers a user-friendly Excel-based spreadsheet format. The tool can be adapted for the context.	Comprehensive toolkit User's Guide
	Research Manual: Child protection systems mapping and analysis in West and Central Africa Phase II (Child Frontiers , 2010, in English and French)	This research methodology and tools allows a comprehensive system assessment. It can be used to assess the congruence between formal and nonformal mechanisms, including understanding local definitions of child protection, local protection strategies and local perceptions about the formal system.	Key expert interviews, semi-structured interviews, structured interviews, group discussions, case stories and surveys. The approach supports comparisons across national settings while at the same time remaining flexible enough to allow for context-specific realities.	Research manual
Conduct a limited mapping focusing on key elements of a country's child protection system	Child Protection System: Core mapping and assessment , (Maestral International)	This provides for a more narrow mapping and assessment of a country, focusing on key elements of the system; appropriate for countries with very limited capacity or difficult emergency contexts.	Same as comprehensive toolkit above	Core toolkit and User's Guide

TOOLS

- A **template for Terms of Reference** for one model of a **task force** and a **secretariat** to support the mapping and assessment of child protection can be found in the ***Child Protection System: Comprehensive mapping and assessment users' guide***, Maestral International.
- **Additional issue-specific mapping tools** and tools which assess specific aspects of child protection systems such as functional reviews, public expenditure, financial accountability and social care services can be found in ***Policy and Programming Resource Guide for Child Protection Systems Strengthening in Sub-Saharan Africa***, Inter-agency working group on child protection systems in sub-Saharan Africa.
- A possible framework and guiding questions for **undertaking** such an analysis is presented in ***Putting the System Back into Systems Change: A framework for understanding and changing organizational and community systems***, 2007.

RESOURCES

- The latest discussions around child protection systems mapping can be found on the website of the **Child Protection Systems Conference**, 13–16 November 2012, New Delhi. The [discussion papers and presentations](#) can be downloaded.
- A **multi-country analysis** of child protection system mappings can be found in ***Mapping and Assessing Child Protection Systems in West and Central Africa: A five-country analysis paper***, Child Frontiers, 2011.
- For a review and discussion of the experience and thinking of humanitarian agencies around child protection systems in emergencies see ► ***Child Protection Systems in Emergencies : A discussion paper***,

Since there is no one-size-fits-all tool, UNICEF does not have a policy concerning **which approach** to choose to map child protection systems. Over the past few years, UNICEF country offices have used various mapping tools. The choice will ultimately depend on the **context, extent of information available, and purpose** of the child protection system mapping.

Over the past few years, a number of UNICEF country offices have experimented with different approaches to mapping child protection systems. Some **lessons learned** so far are:

- UNICEF country offices can tailor child protection system mapping for a specific purpose, context and country by **combining different modules from multiple tools**.
- A general systems mapping tool can also be used for a **single child protection issue**. For example, the *Comprehensive Mapping and Assessment Toolkit* from Maestral has been used to look at justice for children in the Democratic Republic of Congo.
- In West and Central Africa, the first assessments of child protection systems produced **detailed documents** that provided some interesting analysis but also made it difficult for planners to prioritize interventions.
- Rather than starting with a full-scale systems mapping, a lighter option is to **start in a few municipalities** by mapping child protection actors and developing decentralized child service models before investing in heavy, politically charged national processes of analysis, prioritization and strategizing.
- The tools on their own often need to be **supplemented with other tools/reviews that are specific to their context**. To fill some gaps in tools and resources specific to child protection, additional tools have been developed (e.g., on human resources, finances and reviews of legislation against international conventions). Some countries have done case studies, e.g., by tracking what happens to specific people as they go through the system.
- **Costs** for national or sub-national mapping exercises can range from \$15,000 to \$250,000 depending on the choice of methodology, nature and duration of expertise selected, and the scope and depth of information collected and analysed.⁴⁵

45 From Inter-agency working group on child protection systems in sub-Saharan Africa, 'Policy and Programming Guide for Child Protection Systems Strengthening in sub-Saharan Africa'.



In addition to assessing aspects of the child protection system such as laws, policies, standards, regulations, services and infrastructure, it is critical to examine the **interactions and interdependencies** between different components of the child protection system, **power relations**, and **who can make decisions or control resources**. It is the interaction among components and actors that make up a child protection system.

Save the Children for IASC of United Nations UK, 2010.

- **Conference on Child Protection Systems Strengthening in sub-Saharan Africa: Promising practices, lessons learned and the way forward – Conference report**, UNICEF West and Central Africa Regional Office, 2012.

Module 1, STEP 3: Assess data quality

Quantitative and qualitative data on child protection need to be of a **certain quality to be useful and credible** for planning. For example, country offices frequently try to discern behaviours from community discussions that may not be appropriately guided or analysed. Therefore, before analysing the situation of child protection, we need to **assess the quality** of the available quantitative and qualitative data.

ARE THERE SUFFICIENT DATA?

A possible result of gathering evidence on child protection (STEP 2) is the realization that **no data or limited data are currently available**. However, if a child protection programme is not grounded in a solid situation analysis based on evidence, it runs the **risk of doing more harm than good**. A lack of evidence at the analysis stage can lead to missing baseline data for M&E.

If repeated efforts have been made to dig deeper and broaden the scope of secondary data sources and if going back to primary data for analysis has not proven useful, UNICEF and partners might consider establishing a more robust evidence base by conducting **primary data collection** as part of the situation analysis stage.

When considering primary data collection for a situation analysis, two **key factors** should be taken into consideration:

- As primary data collection is often costly, time and human resource intensive and involves important ethical dimensions, it is important to identify only that data which are **absolutely required** to conduct a situation analysis (and avoid collecting data that are 'nice to know' but not required.)
- It needs to be understood how **feasible** it is to collect primary data in terms of financial resources, capacities of staff and partners, capacities of and opportunities to improve data collection systems, etc.

More information on how to conduct primary data collection can be found in [Module 2, STEP 3](#).

THE IMPORTANCE OF GROUNDING PROGRAMMING IN AN EVIDENCE BASE

- **Healthy Families America** is the most well-known programme of the Prevent Child Abuse America initiative. It is a home-visiting programme which serves families who are at risk of adverse childhood experiences, including child maltreatment. Despite being widely implemented in the United States for many years, to date there is no solid evidence that the programme is effective at preventing child maltreatment.
- For over 20 years, the original **D.A.R.E. programme** was the most popular school-based drug abuse prevention programme in the United States and hundreds of millions of dollars were used to run the programme. Evaluations found that students' knowledge, attitudes, and behaviour improved immediately after the programme, but faded over time. By their late teens, there was no difference between students who took part in the programme and those who did not. This was a very big problem, especially when considering the large sums of money invested. In response to continuous negative feedback, D.A.R.E. adopted the 'keepin' it REAL' curriculum in 2009. This curriculum has led to a range of positive outcomes for youth, including reductions in alcohol use.
- **The 'Scared Straight' programmes**, which involve taking children at risk on visits to prisons, aim to scare children in order to reduce the likelihood of them becoming offenders. Evaluations of these programmes show that they do more harm than no intervention at all, and actually increase rates of youth offending. Due to the increased rates of offending, and the resulting costs in the police, criminal justice and prison systems, the 'Scared Straight' programmes were, in 2006, essentially costing taxpayers and victims approximately \$14,667 per child on the programme. If the programme had been successful in reducing rates of offending, it would have saved taxpayers money.

Source: Based on World Health Organization, United Nations Children's Fund, and University of Cape Town, 'Preventing Violence: Evaluating outcomes of parenting programmes', WHO, Geneva, 2013, p. 5.

ASSESS THE QUALITY AND RELEVANCE OF AVAILABLE QUANTITATIVE DATA

After gathering quantitative evidence in STEP 2, we should take a critical look at it and assess its quality and relevance. This requires us to check how **accurate, comparable, complete, and timely** the available data are. Disaggregation (by age, sex, geographic location, urban/rural, wealth quintile, disability, ethnicity, or other relevant marker of difference) is also an important consideration.

As a pre-requisite, any report or database needs to include a detailed description of the **methodology** used to collect the data to be able to assess their quality. Equally important is the understanding of how the main indicators have been calculated and how data have been analysed to come to the conclusions highlighted in the reports. Such information is often unavailable or not adequately detailed, which makes the assessment difficult. Using data without knowing how they were collected and/or how estimates were calculated is to be avoided.

A basic check of how accurate, comparable, complete, timely and disaggregated data can often be done by child protection specialists with knowledge in quantitative data, possibly with the support of M&E staff. Where specialized knowledge is required (e.g., in reviewing the sample design of a large-scale national household survey), an expert needs to be consulted.

Information, particularly on issues that are sensitive and hidden, is hardly perfect. In many cases, we may have to **use data of limited quality** for our analysis of protective and risk factors of child protection.

TABLE 8: CRITERIA TO ASSESS THE QUALITY AND RELEVANCE OF AVAILABLE QUANTITATIVE DATA

Assessment criteria	Key questions regarding collected data
ACCURACY (The precision with which the information correctly describes the phenomenon it was designed to measure)	<ul style="list-style-type: none"> Is there a sufficiently detailed and clear description of the data collection methodology to be able to judge data quality? Were the data collection tools piloted and customized for the local context? Is the sampling frame potentially biased? Does it cover all groups of interest (e.g., children living in residential care)? What is the likelihood of underreporting violations, abuse or exploitation? To what extent do limited awareness, the risk of stigmatization, cultural expectations and mistrust lead to inaccurate records? What are the steps involved in collecting data? Are the professionals involved in data collection sufficiently trained and motivated? Are forms or questionnaires sufficiently easy to understand? How has the indicator been calculated? Is there a risk of double counting? For example, a child victim of exploitation can also be a victim of sexual abuse, a child victim of physical violence can also be a victim of trafficking or can be living on the street. It is important to capture the multidimensional nature of child protection (how many children are in more than one category), without getting incorrect data on number affected or the number reached, by double counting.
COMPARABILITY (The degree to which two data sources produce results that can be compared to discern patterns or trends)	<ul style="list-style-type: none"> Have surveys used comparable methodologies? Are the data based on standard concepts and operational definitions? For example, are 'children' defined the same way? Does the definition of sexual violence cover the same list of acts? Is the target population the same? For example, are both sources reporting on all children aged 0 to 17 years or only on children aged 0 to 17 years attending school? Are we finding discrepancies in data when we compare results across different sources? For example, the Philippine National Police recorded 770 cases of raped children in 2009; however, the Department of Social Welfare and Development recorded 1,247 cases in the same year.
COMPLETENESS (The degree to which the information represents the whole target group)	<ul style="list-style-type: none"> Could there be a bias, such as particularly vulnerable individuals being left out? For example, the choice of a certain sampling frame could result in undersampling of urban areas, especially slums. Has there been oversampling of groups which would otherwise be missed?
TIMELINESS (The time elapsed between data collection and analysis; also the length of data collection intervals)	<ul style="list-style-type: none"> How long ago were the data collected? How often are the data collected? Is it frequent enough to detect child protection trends over time? For example, a one-off national survey on violence against children will not be able to provide data over time. A surveillance system – for example on injury – provides data on an ongoing basis. Is there sufficient intermediate and centralized capacity to process the collected local information in a timely manner? For example, it took one and a half years in Benin to enter forms from the local level into a regional database so when the data were analysed at the regional level the information was already 1.5 years old.
DISAGGREGATION (The degree to which the data can be broken down for subgroups)	<ul style="list-style-type: none"> What categories are used to disaggregate data? (e.g., sex, age, geographic region, social status, economic status, ethnicity, religion) Can a subgroup analysis be done? Does the sample size allow for disaggregation by subgroups? For example, the sample size of a survey could be sufficiently accurate for all children in alternative care, but the margin of error may become unacceptable if we disaggregate for girls living in residential care only.



■ **What to do if the information is not precise:**

- Use the most relevant information, but clearly **note its limitations**.
- If we know that the only available data are biased by **understating or overstating** a fact, we can attempt to estimate the extent of the bias. We can ask subject experts to estimate the factor of underreporting and use it to arrive at a more correct estimation. For example, the number of children who have experienced sexual abuse according to police records is typically grossly understated, since it only captures *reported* cases. A panel of five subject experts in the country estimate that only around 10 per cent of all cases are actually reported. By consistently multiplying official data by 10 (and documenting the calculation process and the limitations), we can arrive at a more accurate estimation which we can – in turn – use to establish trends over time.

■ **What to do if the information is not consistent (i.e., multiple data sources provide different or contradicting information):**

- If two sources of similar quality provide different data and we are not sure which data source is more accurate, we can use **both sources, report the difference** and note the **underlying reasons** for the difference. For example, if one survey suggests that 35 per cent of street children suffer from malaria, and a second survey puts the number at 55 per cent, we can use both figures and explain that the difference occurred due to a different definition of children living on the street (if this was indeed the case).
- If we can reasonably assume that one data source is more reliable or accurate than other sources, we can **use that one source only**. This requires, however, that we continue using the same source to track changes over time. We can use the second source for triangulation to increase credibility. For example, if the number of children dropping out of school in a province decreased from 10,000 to 5,000 in one survey and another survey shows a drop from 5,000 to 2,500, we can infer that the decrease is around 50 per cent.

■ **What to do if the information is not complete (e.g., information is available only for a subgroup or geographic location):**

- We might be able to use incomplete information as a **proxy**. That requires us to make an assumption that the subgroup or geographic area is broadly **representative** of the whole group or area. We must have a strong empirical basis for making such an assumption. For example, data on reported cases of physical violence against children are only available for the capital city and three regional hospitals. From qualitative studies, we have credible evidence that manifestations of violence are similar in urban and rural areas. We could therefore assume that the situation is similar across the whole country. However, if this data gap is deemed critical, particularly in relation to identifying where child protection violations may be most prevalent, it would still be important to plan for more comprehensive data collection to fill this gap.

■ **What to do if the information is not timely:**

- Assess whether more up-to-date information is needed and for what purpose before embarking on a data-gathering exercise. You may still be able to use the 'dated information' if you think it was accurate at the time, but should be sure to cite the source and date.

■ **What to do if the information is not disaggregated:**

- If a report does not include the required level of disaggregation, we can go back to the questionnaire and **raw data** of the survey or study to check if more disaggregation is possible.

ASSESS THE QUALITY OF QUALITATIVE DATA

Similar to quantitative data, assessing the quality of qualitative data can often be done by child protection specialists with knowledge in qualitative research, possibly with the support of regional or headquarters staff with expertise in data collection methods.⁴⁶

⁴⁶ This chapter is heavily based on Quinn, Michael Patton, *Qualitative Research & Evaluation Methods*, Sage Publications, London, 2002, pp. 541–598.



The quality of qualitative data can be assessed using different perspectives and philosophical frameworks. When assessing the quality and validity of data on child protection, the following **criteria** can guide our judgement:

1. How objective is the inquirer? Is bias minimized and explicitly mentioned?

Reflexivity in qualitative research involves being **explicit** about existing biases and also seeking to **minimize bias**. A good qualitative researcher is aware of her or his own biases and the power balances that exist between the researcher and those being researched (i.e., reflexivity). The researcher is therefore able to reflect upon and interpret what he or she hears and observes. Reflexivity is central to understanding and interpreting the findings and analysis from qualitative research and project documents.

2. To what extent can qualitative data be generalized?

In qualitative research, focus is placed on building an in-depth understanding of how a select group or groups of people experience or understand a certain phenomenon, which can then provide us with a particular lens into the community, behaviour or social norm under investigation. For this reason, populations are often chosen **purposively**: researchers select participants based upon a set of criteria that they determine to be the most essential and helpful to gaining a deeper understanding of a certain phenomenon.⁴⁷

3. Has qualitative data been triangulated with quantitative data?

Methodological triangulation involves the use of multiple qualitative and/or quantitative methods to study the programme. For example, results from surveys, focus groups and interviews could be compared to see if similar results are being found. If the conclusions from each of the methods are the same, then validity is established.

For example, suppose a researcher is conducting a study of participants in reintegration programmes to document changes in their lives as a result of participating in the programme over a two-year period. The researcher would use interviews, observation, document analysis or any other feasible method to assess the changes. The researcher could also survey the participants, their family members and case workers as a quantitative strategy. If the findings from all of the

⁴⁷ 'United Nations Children's Fund, Qualitative Research Methods for Use in Equity Focused Monitoring', UNICEF, 2014.

methods draw the same or similar conclusions, validity has been established. While this method is popular, it generally requires more resources. Likewise, it requires more time to analyse the information yielded by the different methods.

4. Have data been triangulated *within* qualitative methods?

Triangulation is also useful *within* qualitative methods. This means comparing and cross-checking the consistency of information derived by different qualitative means and at different times. It involves, for instance, comparing observations with interviews and programme documents, comparing what people say in public with what they say in private, comparing what people say over time, and comparing the perspectives of people from different points of view.

5. Are the data based on a valid sample?

Qualitative data collection methods usually rely on **non-random sampling** (also called purposive sampling). This requires the same care and planning as random sampling often used for quantitative data collection. How participants are selected is as crucial as it is for quantitative data. Too often, qualitative research is weakened by a failure to ensure that participants represent the entire range of the group of interest. For example, focus groups that run only with youth in the most accessible refugee camps might not be representative of those staying in more inaccessible camps. (See box below, 'Sampling for qualitative data collection')⁴⁸

6. How rigorous and reliable are fieldwork procedures, coding and pattern analysis?

Fieldwork and data collection procedures may depend on the type of data collection, but must always be rigorous and systematic. This includes cross-checking and cross-validating sources during fieldwork.

⁴⁸ Based on O'Neill, Kathryn, 'Evaluation Handbook', 2012, 59–60 Save the Children, London, 2012, pp. 59–60.



SAMPLING FOR QUALITATIVE DATA COLLECTION

To judge the quality of data, we need to know how the qualitative data was collected. There are **four main methods for non-random sampling**:

- **Extreme case sampling:** This is a rapid strategy to identify the factors that contribute to certain behaviours and to enable comparison between people or groups. For example, in a study to learn about factors contributing to child labour, a project team decides to interview (a) girls aged 18 who have never attended school but have always worked, and (b) girls who have attended 11 years of schooling and have never worked.
- **Quota sampling:** This involves identifying groups of people of interest and interviewing predetermined numbers of people in each group. For example, a study team investigating attitudes toward children with disabilities in schools interviews 25 people in each of the following groups: caretakers of children with disabilities, caretakers of children without disabilities, children with disabilities, teachers and village health workers.
- **Typical case sampling:** This requires identifying specific cases which are believed

to be 'typical' of a group of interest. For example, a sample could be based on typical facilities and equipment of rural police stations, typical children whose education was interrupted by an earthquake, etc.

- **Snowball or chain sampling:** This method is used when we do not know whom to include in the sample or when the study population is 'invisible' or 'hard to reach'. This approach identifies one or two key informants and asks them if they know other people whom they recommend we talk to. For example, social workers can initially lead us to children living on the street, who in turn can guide us to other children like them.

There are no fixed rules or formulae for determining the sample size in qualitative research. The key idea that guides the number of interviews, focus groups or other qualitative methods is **saturation**. Saturation refers to collecting data until further data collection adds little to the picture that has already been established. Particularly if triangulation is used, **20** interviews or exercises (whether involving individuals or groups) with any particular method will usually be sufficient to produce saturation.

Source: Based on Ager, Alastair, et al., '[Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises](#)', United Nations Children's Fund, New York; 2011 and O'Neill, Kathryn, '[Evaluation Handbook](#)', Save the Children, London, 2012.



TOOLS

- [Sample Call for Proposals for data analysis on child marriage.](#)
- [Sample Call for Proposals for data analysis on female genital mutilation/cutting.](#)

RESOURCES

- [Child Rights Situation Analysis](#), Save the Children Sweden, 2008.
- [Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls](#), DFID How to note, 2012.

Module 1, STEP 4: Analyse the manifestations of violence, abuse, exploitation and neglect

Using the available information collected in [STEP 2](#) and building on the conceptual framework developed in [STEP 1](#), we can now **analyse the manifestations of violence, abuse and exploitation** of children in a country. The purpose of the analysis is to establish **which children** are affected, **by what** and to **what extent**. To do that, we need to analyse the **scope, patterns, trends and context** of the various manifestations or forms of violence, exploitation, abuse and neglect in the country. It also includes looking at the **risks** of experiencing violence, abuse, exploitation and neglect.

For a strong and credible analysis, we should use a combination of **quantitative** and **qualitative** data ('**mixed methods**'). Both methods have their particular strengths and weaknesses, but can complement each other. A combination of quantitative and qualitative methods provides a more complete and accurate picture of manifestations of violence, abuse and exploitation.

An analysis of child protection violations should also establish to what extent different violations are **interlinked** and **reinforcing** each other. **Polyvictimization** is the experience of multiple victimizations of different kinds, such as sexual abuse, physical abuse, bullying, and exposure to family violence.

Analysing the manifestations of violence, abuse and exploitation can often be done by UNICEF child protection staff with some knowledge in quantitative and qualitative research. Where specialized knowledge is required (especially for quantitative data analysis), this may require us to contract **external specialists** and oversee their work.

Given that child protection is both a **sector and intersectoral**, the analysis should be done in close partnership and collaboration with **colleagues from relevant sectors** such as education, health, social protection, and communication for development.



Government counterparts and other **partners** (UN agencies, international non-governmental organizations, local NGOs, and civil society partners) should also be fully engaged.

For more on interpreting quantitative (including how to conduct a univariate, bivariate and multivariate analysis) and qualitative data, see [Module 3](#).

DEFINITIONS

A situation analysis should be explicit in relation to how **key terms of child protection** are **defined**. Violence against children, for example, can encompass emotional, physical or sexual violence. To the extent possible, definitions should therefore be based on **international standards** like those used by:

- **United Nations Convention on the Rights of the Child**
- **Optional Protocol on the Sale of Children, Child Prostitution and Child Pornography**
- **Council of Europe Convention on the Protection of Children against Sexual Exploitation and Sexual Abuse**
- **Committee on the Rights of the Child – General Comments**
- **Minimum Standards for Child Protection in Humanitarian Action**, Child Protection Working Group

The majority of national studies on violence against children, however, have so far used their own **ad hoc or national definitions**.⁴⁹ The lack of internationally agreed standard definitions related to some child protection areas can be a significant obstacle for any assessment of child protection violations. Unclear or contradicting definitions will also result in difficulties in measuring changes over time. The DHS surveys, for example, use ‘sexual violence’ to mean forced sexual intercourse or any other forced sexual act, while the Together for Girls surveys include other forms of sexual violence such as unwanted sexual advances.

⁴⁹ United Nations Children’s Fund, ‘Measuring Violence against Children: Inventory and assessment of quantitative studies’, UNICEF, New York, 2014.

RESOURCES

- **Internationally Recognized Child Protection Terminology**.
- **Glossary of Terms Relevant to Children in Conflict with the Law**, *UNICEF Toolkit on Diversion and Alternatives to Detention*, UNICEF, 2009.
- **International Society for the Prevention of Child Abuse and Neglect (IPSCAN)**.
- **Violence against Women: Intimate partner and sexual violence against women**, Fact Sheet No. 239, WHO, November 2012.
- **Towards Consistency in Child Labour Measurement: Assessing the comparability of estimates generated by different survey instruments**, UCW Working Papers, Understanding Children’s Work Programme, 2010.
- **How Sensitive are Estimates of Working Children and Child Labour to Definitions? A comparative analysis**, MICS Methodological papers, Paper No. 1, UNICEF, December 2012.

Module 1, STEP 5: Analyse the causes of violence, abuse, exploitation and neglect

After analysing the manifestations of violence, exploitation, abuse and neglect (STEP 4), we attempt to identify the main causes of these manifestations. This comprises the **causality analysis** of violence, exploitation, abuse and neglect. A causality analysis enables an understanding of what **protective factors** should be in place, to what extent they are in place and how well they address the issues.

A causality analysis requires **identifying and clustering multiple causes and issues into patterns of relationships** (i.e. identifying how causal factors relate to one another to cause the problems identified). It is important to note that correlation in the data does not necessarily imply causality. Patterns of relationships provide us with hypotheses of causality – what we think the causal relationships are and how they operate.⁵⁰

There is **no singular understanding** of what contributes to violence, exploitation, abuse and neglect of children. This is because efforts to identify problem-cause relationships are context specific, primarily qualitative and open to many interpretations depending on perspective, approach, etc. As a result, problem analysis, priority-setting and the selection of strategies and interventions have to be **country and context-specific**, and it is important to keep building on what is being learned from previous approaches.

It is possible to start the analysis with a particular **child protection problem**, such as commercial sexual exploitation or child labour – but these should be used as an **entry point to a more comprehensive analysis**. Regardless of which particular child protection issue is used as the starting point, a comprehensive causality analysis can generally identify **common causal factors**. If an analysis is done for each prioritized child protection issue, then common causal factors can be identified across these analyses as well as relevant solutions that address the common causes, in line with a child protection systems approach.

50 It is not possible to infer causality from cross-sectional data (i.e., data that are collected at only one point in time to provide a snapshot of the situation of a population), as they give no indication of the sequence of events.



CAUSALITY ANALYSIS

The causality analysis is based on the **conceptual framework** described in STEP 1. In turn, a thorough causality analysis will help to construct **theories of change** (see Module 2, STEP 1), which will articulate how the causes will be addressed (i.e. which interventions will be implemented based on evidence of ‘what works’) and what results will be expected. Whichever form or approach the country office decides to adopt for analysing the causes of child protection violations, the following five interrelated tools will support a quality and structured analytical effort:

- A **causality analysis** can identify and cluster multiple causes and issues into patterns of relationships: tools such as a ‘**problem tree**’ are used to provide a visual, participatory means of gaining insight into the multiple causes of child protection problems and the relationships between causal factors.
- A rights-oriented **role-pattern analysis** delves into the roles and relationships between stakeholders such as parents, communities, NGOs, governments and other duty bearers on the one hand, and children (the rights holders) on the other.⁵¹
- A **capacity gap analysis** examines the capacity of key individuals and institutions responsible for child protection.
- An **analysis of the enabling environment** examines the broader policy, legal, administrative and budgetary issues and social norms which influence child protection.
- A systems analysis (e.g., causal loop diagrams, system dynamic modelling) identifying a causal relationship between system structures, functions and capacities reveals how an improvement in one aspect will influence other elements.⁵²

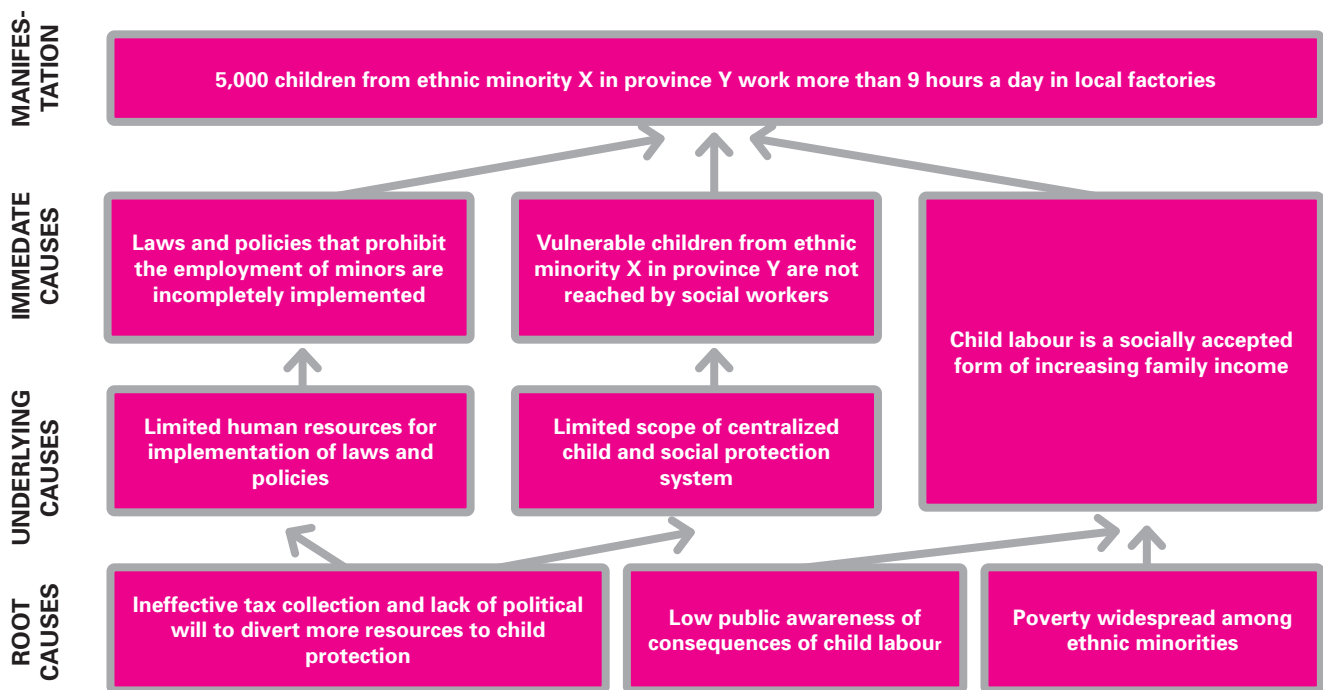
A **causality analysis** identifies the most **important immediate, underlying and root causes** of a child protection issue. Systematically asking the questions ‘why?’ and ‘who?’ will help move from immediate causes to structural (underlying) causes of a manifestation. A causality analysis is usually depicted in graphic form with arrows indicating a causal relationship (figure

⁵¹ While a simple rights-oriented role-pattern analysis distinguishes between rights holders and duty bearers, the reality can be more complex. Depending on the context, it can be more likely, for example, that children and parents fill one role, while government and civil society organizations have another role.

⁵² For more details on the approaches, see <www.bobwilliams.co.nz/Systems_Resources.html>.

3). The analysis will be continually revised during the course of consultations, and as future information is received.

FIGURE 3: Example of a graphical depiction of a causality analysis



Source: UNICEF Child Protection Section, New York.

During the process of uncovering the underlying and structural causes, the following questions will be asked:

- Why is it so or what causes this to happen/not to happen?
- Who is supposed to do something about this? (Role-pattern analysis)
- What capacities are lacking for these institutions or individuals to carry out their duties? What capacities are lacking for rights holders to better claim their rights? (Capacity-gap analysis)

Role-pattern analysis

Following the development of the conceptual framework and completing further analysis through the development of problem trees as needed, a role-pattern analysis is undertaken to understand the roles of relevant stakeholders. This involves understanding who is responsible for the various rights not being respected, protected or fulfilled. It is important to clearly define



the rights holders and duty bearers and their respective roles and relationships in each context. Who are the rights holders and also the duty bearers and what obligations are they supposed to meet? What is the relationship between the rights holders and duty bearers for each issue being examined? This analysis should be sub-divided to the extent possible, including at community, regional, and national levels.

Capacity-gap analysis

Building on the role-pattern analysis, an important aspect of a human rights-based and equity-focused situation analysis is to understand the capacity constraints of those responsible for ensuring that children's right to protection is respected, protected, and fulfilled. Helping national partners in a process to identify (and subsequently address) the capacity gaps among duty bearers, ranging from families and communities to duty bearers at the national level – and providing support to addressing the identified gaps – is often a comparative advantage of the United Nations system.

Capacity gaps may include a lack of information, knowledge, skills, will/motivation, authority and financial or material resources. Duty bearers might not be aware of their responsibilities, or may not be provided with the authority and support to carry out their duties. Different views, for instance among parents, service providers and government officials about their respective duties and accountabilities are indicative of also a potential gap in capacity. It is also essential that mechanisms and systems, including capable organizations, judicial and political processes, planning and review and accountability mechanisms, are able to effectively provide the means for rights holders to assert their claims and seek redress.

The following questions should be asked during this process: Do rights holders – including children in accordance with their age and maturity – have the capacity to claim their rights, including the ability to access information, organize and participate, advocate claims and policy change, as well as obtain redress? What mechanisms of delivery, accountability, and redress exist, and what mechanisms should be established? Who are the specific actors or institutions responsible for performance and do they have the capacity to meet obligations (including responsibility, authority, data, and resources)?

TOOL

- Guidance Notes: 5 Why's Technique.

RESOURCES

- Guidance on Conducting a Situation Analysis of Children's and Women's Rights, UNICEF, 2012.
- Systems Concepts in Action: A practitioner's toolkit, Stanford University Press, 2010.
- Create a Concept Map, Penn State University Libraries.
- Tools for Knowledge and Learning: Social network analysis, Overseas Development Institute, 2009.

Duty bearers may vary according to the problem to be addressed. For example, in relation to child protection issues, the duty bearers may include employers (with respect to exploitative labour), media (with respect to raising awareness and respecting the rights of victims) and religious leaders (with respect to orphan care or elimination of harmful practices).

Conducting a proper causality analysis for child protection can be challenging given that cause and effect are not always linear. These are some of the **potential fallacies** we need to avoid:

- Any causality analysis is in varying degrees a simplification of a complex reality. However, it is important to **avoid generalization and oversimplification** (such as solely attributing the root cause of violence, exploitation, abuse and neglect to poverty or to impunity). While these may indeed be very important basic causal factors, using the causality analysis to examine the entire range of causal factors and their relationships, including underlying and immediate causes of child protection violations, will provide a sound basis for child protection programming, and digging deeper into the why will help to better identify actions that can be taken to address the identified causes.
- If we claim a causal relation, we need to **back it up with credible data and arguments**. For example, a statement that “high levels of poverty and growing inequities in society are some of the root causes contributing to the problem of violence, exploitation, abuse and neglect” by itself is not yet sufficiently credible.
- A causality analysis is **not an unstructured listing of possible causes**. It requires a structure where each element is logically related to other elements.
- There is a temptation to identify **too many causes**. A good causality analysis finds the right balance between focusing on the most relevant causes without oversimplification. For example, one country's causality analysis framework of commercial sexual exploitation of children contained 66 causes and manifestations, too many for a sound base for action. Instead, the analysis could have focused on a limited number of **key causes**.
- It is difficult to properly describe a causality analysis using **narrative text** alone. A visual tool like the problem tree helps to focus on the key variables and define clear causal relations.



Analysing causes of child violence, abuse and exploitation will typically lead us to an analysis of: (a) shortcomings in the **child protection system** of a country, as well as assets that can be built upon, and (b) **social norms** that help to prevent or that contribute to child protection violations. It is therefore useful to map and assess child protection systems (as noted earlier), and to diagnose social norms, as discussed below.

DIAGNOSING SOCIAL NORMS

Depending on their nature, social norms can **contribute to or help to prevent child protection violations**. Apart from mapping a child protection system, diagnosing social norms is another approach that can be used as a basis for, or together with, an analysis of the causes of child violence, abuse and exploitation.

A **norms diagnostic tree** can be used to determine **if a behavioural regularity is a social norm**. It is a social norm only when individuals follow it because they see or believe that others around them engage in the practice and because they believe there is a social obligation to follow it. Other norms include personal or moral norms, social proofs, social conventions and legal norms.⁵³

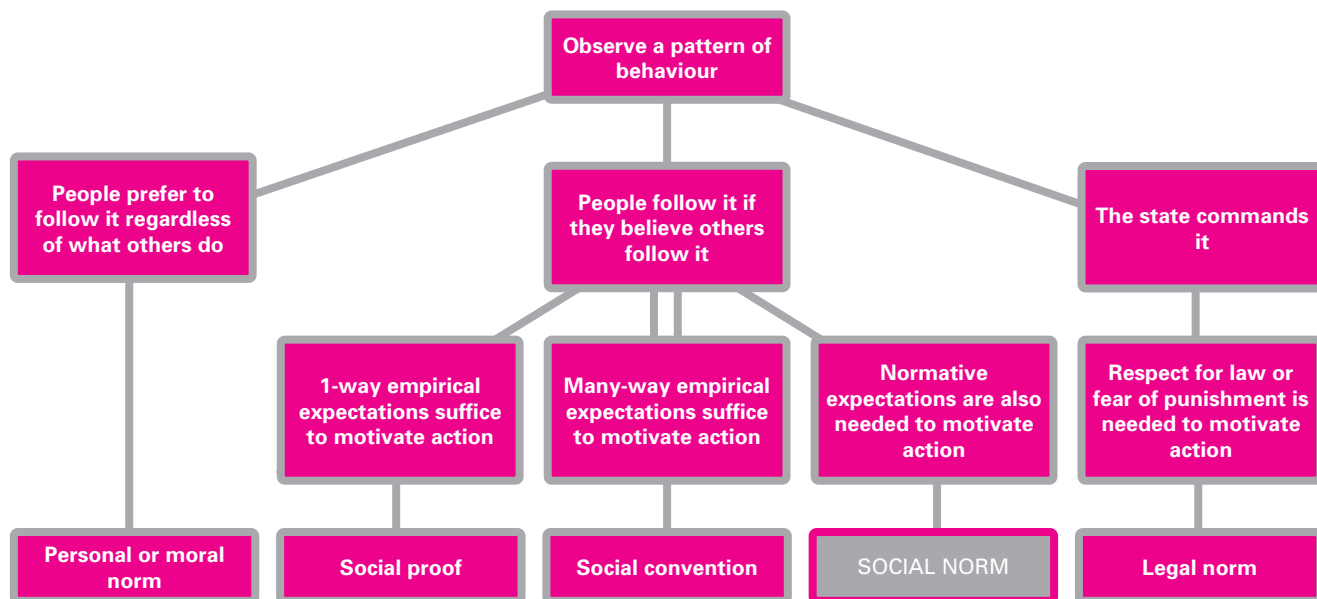
Child protection programmes need to appropriately identify the underlying drivers of the behaviours that are being observed because whether a norm – and which type of norm – shapes behaviour will affect decisions about programme design. A behaviour's location on the diagnostic tree suggests the degree to which an individual group member can take independent actions to change the behaviour. The programming strategies that may be adopted to change the behaviour in that context will vary depending on the category the behaviour falls into.

Some strategies will only influence personal or individual beliefs and attitudes while others may be better at influencing collective or group behaviours. If social norms are at play, programmes need collective strategies to influence change. For example, the act of violently disciplining a child may stem from a parent's personal

53 Based on 'What are Social Norms? How are They Measured?', Working Paper, UNICEF and University of California – San Diego Center on Global Justice, 2012.

belief that physical punishment is more effective (a personal norm). Alternatively, a parent may think others expect parents to hit their children to raise them well (a social norm). That belief is reinforced by the parent seeing other parents also violently disciplining their children. For parents to change their own behaviour, they not only have to change their personal beliefs, but also their beliefs about what others think they should do.

FIGURE 4: Norms diagnostic tree



Source: 'What are Social Norms? How are They Measured?', UNICEF and University of California – San Diego Center on Global Justice, 2012, based on lectures by Christina Bicchieri and Antanas Mockus, courses on Advances in Social Norms, UNICEF/ University of Pennsylvania, 2010 and 2012, and Mockus, Antanas, 'Co-Existence as Harmonization of Law, Morality and Culture', *Prospects*, vol. 32, no. 1, March 2002, pp. 19–37.

PARTICIPATION OF CHILDREN

RESOURCE

- **Involvement in Research, Analysis, Planning, Implementation, Evaluation**, Child and youth participation resource guide web page, UNICEF.

TOOL

- **Operations Manual on Children's Participation in Consultations**, Inter-Agency Working Group on Children's Participation (IAWGCP), 2007.

The **participation of children** in the analysis can provide invaluable insights and make a causal analysis more accurate and grounded in reality. However, the decisions as to *whether* and *how* children are asked to participate, and *which* children and *when* to engage with them, require careful consideration and planning (not least ethical considerations) and need to follow established minimum standards. Depending on the questions to be explored, **focus group discussions** with particular groups of children can be a helpful tool to detect causal relationships, particularly when combined with subsequent in-depth individual interviews for further verification/triangulation of what was shared in the group. (For more on focus group discussions see [Module 2, STEP](#)

3). Children can also be used as **researchers** to gather data. In Nigeria, in 2007, for example, 24 adolescents from the community gathered research for a baseline study.⁵⁴

Module 1, STEP 6: Validate and use the situation analysis

VALIDATE THE SITUATION ANALYSIS

The draft situation analysis for child protection needs to be **validated** prior to being finalized. This can be done by consulting internally, and with partners, including government, NGOs, civil society representatives and the participation of children (see [Module 1, STEP 5](#)).

A validation of the conclusions and recommendations from the child protection situation analysis serves three **purposes**:

- A transparent and open discussion can improve the **quality and accuracy** of the situation analysis.
- It can help build **stakeholder commitment** and support a common **vision** for child protection.
- It can serve as the foundation of programme **prioritization** for UNICEF, the United Nations and its partners.

USE THE SITUATION ANALYSIS

A good, detailed and focused situation analysis can be used for a number of purposes:

- To develop **national capacities** for evidence-based research on child protection
- To develop a **theory of change and design a new programme strategy** for future child protection programmes by UNICEF or its partners, the UNICEF-assisted country programme and the UNDAF

54 Fafo Institute for Applied International Studies, 'Evaluation of UNICEF's SIDA-Funded Child Protection/Trafficking Program in West Africa', Fafo AIS, Oslo, 2007.

RESOURCES

- **Optimizing the Use of SitAns**, Annex 4, in *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*, UNICEF, 2012.
- **Advocacy Toolkit: A guide to influencing decisions that improve children's lives**, UNICEF, 2010.

- To develop the **results chain** of a future child protection programme by UNICEF or its partners, a country programme and UNDAF
- To provide data and arguments for **advocacy** for child protection
- To serve as a basis for identifying **additional primary data** needed by UNICEF or its partners and to build consensus on priority topics for **future research and action**

To achieve this, the situation analysis needs to be **targeted** for the intended use and the specific audience. This might include a highly attractive and well-structured document, producing a child-friendly version, the use of images, diagrams and charts, podcasts, pocket summaries, local websites, translations into local languages, etc.

Where possible, findings of the situation analysis should be **shared** as broadly as possible. This will help in enhancing the evidence base in child protection. One option is to publish results of the situation analysis in journals.

DISCUSS SENSITIVE ISSUES

RESOURCES

- **Addressing sensitive issues within the Situation Analysis**, annex 1, in: *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*, UNICEF, 2012.

A child protection situation analysis can provide a useful opportunity to openly discuss **sensitive issues** on child protection. There might well be some reluctance among national partners or communities to acknowledge child protection issues which are sensitive, either from a cultural perspective or because they may portray the government and/or particular groups negatively. Wherever possible, UNICEF should try to negotiate to include these issues in the report. However, a balance needs to be struck between ensuring that the analysis includes all protection issues affecting children and their underlying causes, and also has a high degree of consensus and ownership. Decisions on this balance need to be made on a case-by-case basis.



KEEP THE SITUATION ANALYSIS UP TO DATE

The situation of violence against children and the exploitation, abuse and neglect of children is **not static**. **New or updated data or information** will become available, especially after major surveys, evaluations or studies. That is why UNICEF's general Situation Analysis of Children's and Women's Rights in a country and the child protection situation analysis should continuously – and at least once in the course of a Country Programme – be updated.

Country offices are encouraged to conduct a **rolling situation analysis**. This can take the form of frequently updated single documents, a series of analyses that increase knowledge and understanding over time, or contributing to joint analysis with the government or the United Nations country team.

A **'light' update** on the situation of child protection can also be included in the **annual review and report** of a child protection programme or in the UNICEF country office's annual report.

If there is evidence that the situation of child protection has significantly changed, the child protection programme needs to be **reviewed** and **reconsidered**.

Typically, this would mean stopping, modifying or including new **activities**. It could also require **changing, discontinuing or introducing new outputs** or even **outcomes** in the Country Programme results structure.

Module 1: Special considerations in a humanitarian context

Conflict and natural disaster **increase** the **vulnerability** of children, and women, to all forms of violence, exploitation, abuse and neglect. Social systems and networks often fall into disrepair in times of conflict and disaster, meaning that they are less able to

ROLLING SITUATION ANALYSIS IN TURKEY

The **UNICEF Turkey** country office uses a **rolling electronic situation analysis**.

This makes it possible to keep the situation analysis **up to date**. It also allows a **one volume**, fully referenced summary of the child rights situation in the country to be publicly available for **advocacy, awareness-raising and programming**.

For ease of regular updating, it is published only in **electronic** format.

Initially, the Country Office relied on external support, but has now **embedded** the update in the **knowledge management function** of the office.

Source: <www.unicef.org.tr/sayfa.aspx?id=25&mnid=79&dil=en&d=1>

ETHICAL CONSIDERATIONS FOR CHILD PROTECTION RAPID ASSESSMENT

- Consider **negative effects** of assessment (stigmatization, attracting attention, fear, retribution)
- Be explicit regarding **informed consent**
- Commit to **follow-up action**
- Do not create **false expectations**
- **Maintain confidentiality** of sensitive information (names, incidents, locations, details)
- **Sensitive questions** should be asked only by well-trained interviewers

protect vulnerable children. Although economic disparity and poverty can be major causes of conflict, similar by-products of **armed conflict**, including poverty and high unemployment can lead to child recruitment, trafficking and sexual exploitation. Meanwhile, disasters can result in economic impacts and stresses that may raise protection risks. Children are also disproportionately affected by conflict and **natural disasters**, including earthquakes, droughts, monsoons and floods. Such disasters destroy homes and communities, create conditions in which disease can spread, keep children out of school and destroy the social systems that protect vulnerable children. Children may be separated from their families or may lose official documents necessary for them to gain access to humanitarian assistance. Separated and unaccompanied children, especially child-headed households, are inevitably more vulnerable to economic or sexual exploitation and abuse.

In general, the principles and approaches described in steps 1 to 6 can also be applied to a humanitarian context. However, there are **additional tools for assessing the situation of child protection in a humanitarian context**.

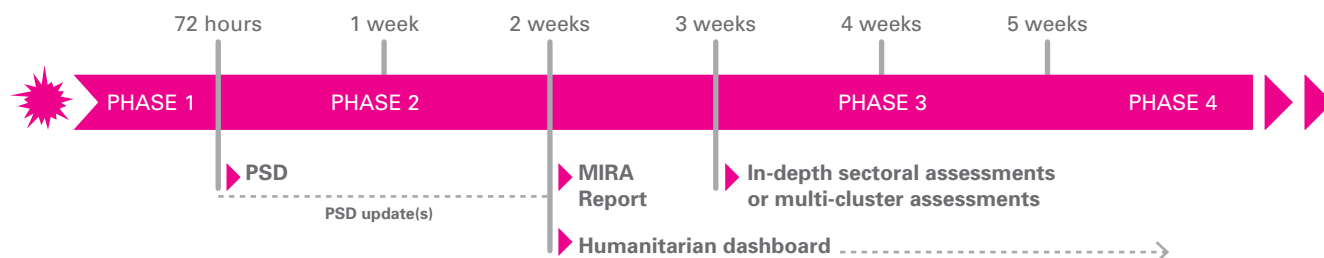
Following a rapid onset emergency, national authorities, United Nations agencies, international organizations and NGOs should conduct a **coordinated assessment**. To the extent possible, the assessment should build upon and use existing information in the country. This is done by conducting a child protection desk review either in the emergency preparedness phase, or as a first step in the rapid assessment phase. Following the desk review, since the situation of children and their families can change so rapidly during and after an emergency, it is vitally important to obtain **up-to-date information** to guide programmatic efforts.

There are **three phases** following a rapid onset emergency:

- During the first 72 hours (Phase 1), a **Preliminary Scenario Definition** is produced, mostly based on secondary data.
- After two weeks, a **Multi-Cluster/Sector Initial Rapid Assessment** is launched to inform in-depth response planning (Phase 2).
- During Phase 3 (3–5 weeks after an emergency), a **Child Protection Rapid Assessment** can be conducted.



FIGURE 5: Phases and products in a humanitarian emergency



Source: Child Protection Working Group, 'Child Protection Rapid Assessment Toolkit', CPWG, Geneva, 2012.

A. Preliminary Scenario Definition

A Preliminary Scenario Definition reflects a shared understanding of the situation across the humanitarian community. It represents an overview of available secondary data and early primary data. It includes drivers of the crisis and underlying factors, the scope of the crisis and humanitarian profile, the status of populations living in affected areas, national and international capacities and response, humanitarian access, coverage and gaps, and strategic humanitarian priorities. It informs the flash appeal and the more in-depth Multi-Cluster/Sector Initial Rapid Assessment.

B. Multi-Cluster/Sector Initial Rapid Assessment

The Multi-Cluster/Sector Initial Rapid Assessment is a **joint multi-sector assessment** done in the **first weeks** of a crisis or change in the context. It should ensure that decision makers are provided with timely, adequate, sufficiently accurate and reliable information to collectively identify strategic humanitarian priorities. However, the MIRA should not be expected to provide detailed information for the design of localized response projects. It guides subsequent in-depth sectoral assessments, including the child protection rapid assessment, which provide more of a foundation for programme design.

TOOL

- **Multi-Cluster/Sector Initial Rapid Assessment (MIRA)**, IASC, 2012. Some countries have adjusted MIRA to the specific national context.

C. Child protection rapid assessment

During Phase 3 (3–5 weeks after an emergency), a **Child Protection Rapid Assessment** can be conducted. It is an inter-agency, cluster-specific rapid assessment, designed and conducted by Child

TOOLS

- **Examining Child Protection Rapid Assessment: A structured review of field learning** from the Child Protection Rapid Assessment (CPRA) toolkit, Child Protection in Crisis Network, New York, 2013.
- **Child Protection Rapid Assessment Toolkit**, Child Protection Working Group, 2012.
- **Lessons Learned in Field-Testing of the Child Protection Rapid Assessment**, Draft report to the Protection Cluster, Yogyakarta, Indonesia, September 2011.

Protection Working Group members in the aftermath of a rapid onset emergency. It can be conducted as a stand-alone process or added to other coordinated multi-sectoral rapid assessments. The toolkit includes a guide, standard questions for the desk review and a generic set of questions for key informant interviews.⁵⁵

⁵⁵ The desk review phase of the CPRA can begin while the MIRA is still going on (if it was not done as part of the emergency preparedness).



RESOURCES

'Child Protection databases maintained by UNICEF'	<p>Birth registration: <data.unicef.org/index.php?section=topics&suptopicid=17></p> <p>Child labour: <data.unicef.org/index.php?section=topics&suptopicid=31></p> <p>Child marriage: <data.unicef.org/index.php?section=topics&suptopicid=32></p> <p>Female genital mutilation/cutting: <data.unicef.org/index.php?section=topics&suptopicid=38></p> <p>Child discipline: <data.unicef.org/child-protection/violent-discipline></p> <p>Sexual violence: <data.unicef.org/child-protection/sexual-violence></p> <p>Attitudes towards domestic violence: <data.unicef.org/child-protection/attitudes></p>
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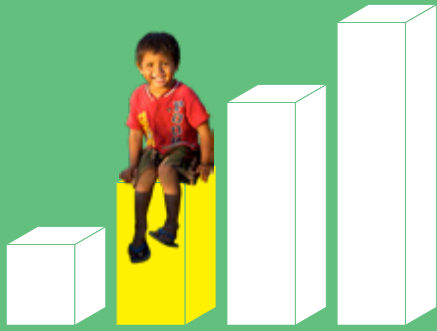
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World Bank, Database (free and open access to data about development in countries around the globe)	data.worldbank.org
World Bank, Living Standard Measurement Studies (LSMS)	go.worldbank.org/IPLXWMCNJ0
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Module 2: How to Design a Child Protection Programme

WHEN to use this module:

- During the **planning phase** of a child protection programme or a programme with a child protection component
- Usually at the *beginning* of a **UNICEF country programme cycle**
- Referred to *during implementation* to **revise** a child protection programme, in particular during mid-year reviews, annual reviews and mid-term reviews

WHO should use this module:

- **Child protection staff** in a country office putting together a child protection programme or a programme with a child protection component
- **Planning** and **M&E specialists** in a country or regional office, to ensure the coherence of the programme structure, coherence with other programme areas, correct utilization of Result-Based Management principles, as well as technical support and quality control for indicators

OVERVIEW

STEP 1: Clarify theories of change

STEP 2: Define impact and indicators

STEP 3: Define outcomes and indicators

STEP 4: Define outputs and indicators

STEP 5: Finalise the programme design

SPECIAL CONSIDERATIONS IN A HUMANITARIAN CONTEXT

CLARIFY THEORIES OF CHANGE (STEP 1)

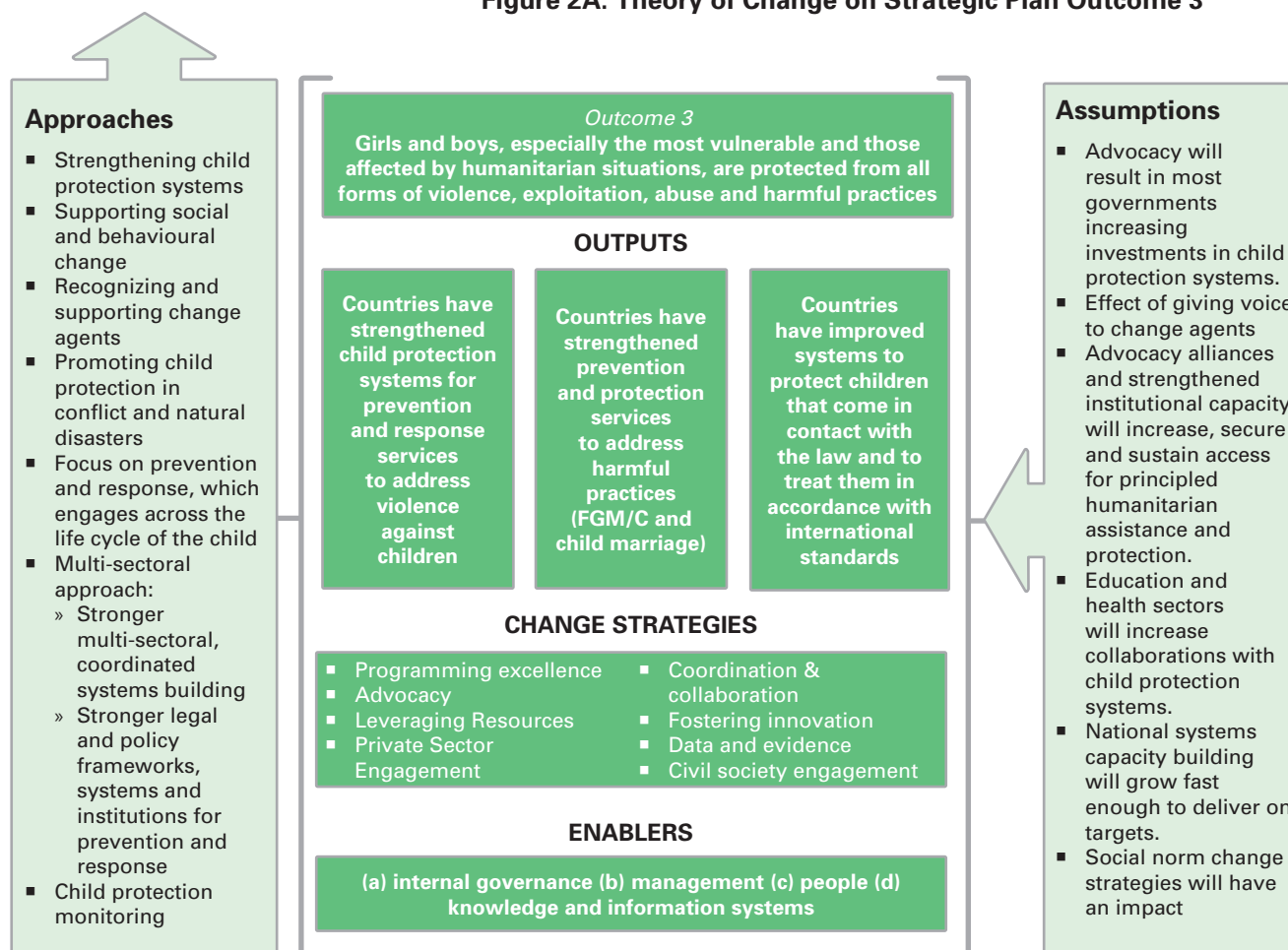
RESOURCES

- **Theory of Change Paper**, UNICEF Strategic Plan, 2018–2021, Executive Board, Second regular session 2017, 12-15 September 2017, UNICEF/2017/EB/11, www.unicef.org/about/execboard/files/2017-EB11-Theory_of_Change-2017.07.19-EN.pdf

STRATEGIC PLAN THEORY OF CHANGE

The Strategic Plan provides a starting point for developing a theory of change of child protection. This overarching theory of change assumes that it requires **three outputs** to protect girls and boys from all forms of violence, exploitation, abuse and harmful practices.

Figure 2A. Theory of Change on Strategic Plan Outcome 3



This overarching theory of change on Outcome 3 also indicates typical UNICEF-supported approaches to child protection (*Figure 2A, left*). Further, it describes typical assumptions for outputs to translate into better protection (*Figure 2A, right*).

OTHER THEORIES OF CHANGE

THEORY OF CHANGE FOR PREVENTING AND RESPONDING TO VIOLENCE AGAINST CHILDREN AND ADOLESCENTS

This is an overarching, multi-sectoral theory of change to guide UNICEF's work on preventing and responding to violence against girls, boys and adolescents. The purpose is to provide a strategic vision that describes pathways of change, proposes a package of evidence-based strategies and illustrates a chain of results, both to prevent violence and to improve the lives of child and adolescent victims when violence occurs.

RESOURCES

- ***Preventing and Responding to Violence Against Children and Adolescents: Theory of Change***, UNICEF 2017, www.unicef.org/protection/files/UNICEF_VAC_ToC_WEB_271117.pdf

START WITH THE STRATEGIC PLAN (STEP 2,3,4)

INCLUDE STRATEGIC PLAN RESULTS

The Strategic Plan 2018-2021 represents **UNICEF's corporate commitment** to contribute to the 2030 Agenda for Sustainable Development and the SDGs. Hence, this corporate commitment for child protection at the outcome level should serve as a **starting point for developing programme outcomes** (*"Girls and boys, especially the most vulnerable and those affected by humanitarian situations, are protected from all forms of violence, exploitation, abuse and harmful practices"*).

Similarly, the three global outputs for child protection can serve to formulate country-specific outputs in line with UNICEF's overall theory of change:

- Child protection systems strengthened for prevention and response services to address **violence against children**
- Prevention and protection services strengthened to address **harmful practices**
- Systems improved to protect children who come **in contact with the law** and to treat them in accordance with international standards

INCLUDE STRATEGIC PLAN INDICATORS

The Strategic Plan and its indicators for child protection define UNICEF's approach to define and measure results at a global level. The advantage of including a significant set of Strategic Plan indicators in UNICEF-supported programmes and frameworks is that these indicators are **well defined** with an established, detailed methodology and that data can be **aggregated** regionally and globally in a consistent manner.

While additional indicators can reflect the specific regional, national or local context, a **suitable sub-set** of Strategic Plan indicators for child protection should be included in:

- UNICEF's **Country Programme Documents**
- Priority indicators for UNICEF **regions**
- **United Nations Development Assistance Frameworks (UNDAFs)**.

INCLUDE SDG INDICATORS

For impact or outcome level indicators, consider including some of the **eight SDG target indicators that relate to child protection (Table 2A)** in CPDs, UNDAFs and regional priority frameworks:⁵⁶

⁵⁶ UNICEF is leading efforts to track progress against the SDG targets as the global 'data custodian' for 10 SDG indicators, and joint custodian for an additional seven SDG indicators. Eight of these 17 indicators are child protection indicators.



Table 2A. Eight SDG target indicators that relate to child protection

Goal 5. Achieve gender equality and empower all women and girls
Target 5.2.: Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation
<i>Target indicator 5.2.1.</i> Proportion of ever-partnered women and girls aged 15 years and older subjected to physical, sexual or psychological violence by a current or former intimate partner in the previous 12 months, by form of violence and by age***
<i>Target indicator 5.2.2.</i> Proportion of women and girls aged 15 years and older subjected to sexual violence by persons other than an intimate partner in the previous 12 months, by age and place of occurrence***
Target 5.3. Eliminate all forms of violence against all women and girls in the public and private spheres, including trafficking and sexual and other types of exploitation
<i>Target indicator 5.3.1.</i> Proportion of women aged 20-24 years who were married or in a union before age 15 and before age 18***
<i>Target indicator 5.3.2.</i> Proportion of girls and women aged 15-49 years who have undergone female genital mutilation/cutting, by age***
Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all
Target 8.7.: Take immediate and effective measures to eradicate forced labour, end modern slavery and human trafficking and secure the prohibition and elimination of the worst forms of child labour, including recruitment and use of child soldiers, and by 2025 end child labour in all its forms
<i>Target indicator 8.7.1</i> Percentage and number of children aged 5-17 engaged in child labour , by sex and age group
Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels
Target 16.2. End abuse, exploitation, trafficking and all forms of violence against and torture of children
<i>Target indicator 16.2.1.</i> Proportion of children aged 1-17 years who experienced any physical punishment and/or psychological aggression by caregivers in the past month
<i>Target indicator 16.2.3.</i> Proportion of young women and men aged 18-29 years who experienced sexual violence by age 18
Target 16.9. By 2030, provide legal identify for all, including birth registration
<i>Target indicator 16.9.1.</i> Proportion of children under 5 years of age whose births have been registered with a civil authority, by age
*** Joint indicators by United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), UNICEF and United Nations Entity for Gender Equality and the Empowerment of Women (UN Women).

An option for inclusion in the CPDs, UNDAFs and regional priority frameworks is to consider one of the four SDG target indicators related to child protection that have been agreed on by **UNDP, UNFPA, UN Women and UNICEF** in order to **jointly monitor** collaborative work on the 2030 Agenda for Sustainable Development and the SDGs. These indicators have been agreed upon in an annex to the common chapter in the strategic plans of these four entities.

RESOURCES

- **Working together to support implementation of the 2030 Agenda**, Annex to the common chapter in the respective strategic plans, 2018-2021, www.unicef.org/about/execboard/files/2017-Annex-Common_Chapter-2017.07.31-EN-FINAL.pdf

ADVOCATE FOR CHILD PROTECTION INDICATORS IN UNDAF

The United Nations Development Assistance Framework (UNDAF) is a strategic, medium-term results framework that describes the collective vision and response of the United Nations system to national development priorities at the country level. It describes how United Nations Country Teams will contribute to the achievement of development results based on a common country analysis and United Nations' comparative advantage.

RESOURCES

- **UN Development Assistance Framework Guidance**, United Nations Development Group 2017, undg.org/document/2017-undaf-guidance/

Advocate for including:

- child protection in the **UNDAF theories of change**
- child protection Strategic Plan or SDG indicators in the **UNDAF results framework**.

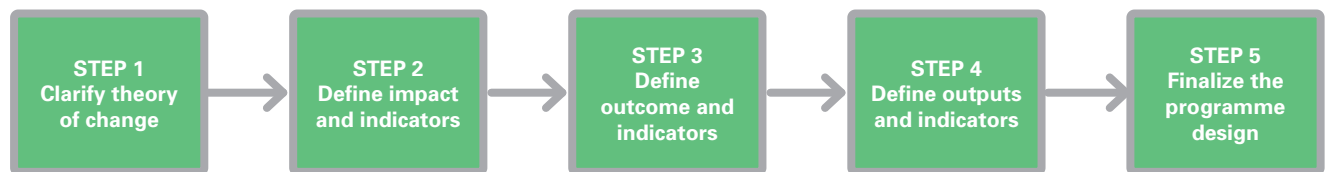


02

Module 2: OVERVIEW

Based on a thorough understanding of the patterns, scope and trends of violence, abuse and exploitation of children and their causes (see [Module 1](#)), this module explains **how to design a child protection programme in five steps**:

FIGURE 6: Five steps in designing a child protection programme



A meta-synthesis completed by UNICEF of child protection programmes in 2012 concluded that **weaknesses** in applying **results-based planning and management** tools are common in child protection. Further, programme design weaknesses have **hindered the relevance and appropriateness** of child protection programmes.⁵⁷ There are at least four **benefits** of investing time and resources in detailed, thorough planning for results:

- Planning enables us to **know what should be done when and by whom**.
- Planning helps mitigate and manage **crisis** and ensure smoother **implementation**.
- Planning improves **focus on priorities** and leads to more **efficient use of time, money and resources**.
- Planning helps determine **what success will look like**.⁵⁸

UN agencies and donors are using different planning **definitions**

⁵⁷ United Nations Children's Fund, 'Protecting Children from Violence: A synthesis of evaluation findings', UNICEF, New York, June 2012.

⁵⁸ United Nations Development Programme, 'Handbook on Planning, Monitoring and Evaluating for Development Results', UNDP, New York, 2009.

RESOURCES

- **Results-Based Management Handbook**, United Nations Development Group (UNDG), 2011.
- **Procedure on Using the Results Assessment Module (RAM 2.0) of VISION/inSight**, UNICEF, 2014.
- **Glossary of Key Terms in Evaluation and Results Based Management**, OECD, 2004.
- **Final Results Framework of the UNICEF Strategic Plan**, 2014– 2017.

and terminologies, even though the concepts are, in many cases, analogous. Using a common **results-based management terminology** as defined in the UNDAF process or the UNDG *Results-Based Management Handbook* brings more conceptual clarity and provides a common basis for supporting national programming.⁵⁹

A complete development programme is based on a **results chain**. Results within the United Nations system correspond to three levels: **outputs, outcome and impact**. UNICEF has started to use this terminology with the Strategic Plan 2014–2017. These results form a hierarchy and are logically linked through a cause-and-effect relationship. In addition, a complete programme design includes output, outcome and impact **indicators**, which are part of a broader M&E Framework. Only a logically coherent chain of clear results based on credible theories of change (see **STEP 2** of this module) is a solid basis for planning, resource mobilization and advocacy for a child protection programme.

In the UNICEF Strategic Plan, there are six common categories of outputs across sectors: a) Demand (including knowledge, behavior change and participation); b) Supply (including access to and availability of services); c) Enabling Environment (including laws, policies and budgets); d) Humanitarian action; e) Gender equality and rights; and f) Supportive actions at global and regional levels. The balance between these six varies by outcome and by setting, but the categories represent an essential part of the organization-wide theory of change.






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⁵⁹ United Nations Development Group, 'Programming Reference Guide', UNDG, New York; and United Nations Development Group, 'Results-Based Management Handbook', UNDG, New York, 2011.



TABLE 10: THE RESULTS CHAIN FOR THE UNITED NATIONS, UNICEF AND CHILD PROTECTION PROGRAMMES

SIGNIFICANCE			
Chain of results	Significance for the United Nations in general	Significance for UNICEF	Significance for UNICEF child protection ⁶⁰
IMPACTS 	<ul style="list-style-type: none"> Long-term changes in people's lives Can be economic, socio-cultural, institutional, environmental, technological, etc. Nationally owned Not within the control of the United Nations 	<ul style="list-style-type: none"> Advances the rights of every child, especially the most disadvantaged 	<ul style="list-style-type: none"> Better protection for children from violence, exploitation, abuse and neglect
OUTCOMES 	<ul style="list-style-type: none"> Changes in the behaviour or performance of targeted institutions or individuals (rights holders or duty bearers) Largely outside the control of the United Nations, but the United Nations contributes to it 	<ul style="list-style-type: none"> Increased coverage of a quality intervention or service; positive behaviour or practice 	<ul style="list-style-type: none"> Systems for protecting children and society ensure better prevention of and response to violence, exploitation, abuse and neglect Duty bearers recognise that protection is critical to the overall well-being of children
OUTPUTS 	<ul style="list-style-type: none"> Changes in skills, abilities, capacities of individuals or institutions; or the availability of new products or services Largely within the control of the United Nations; therefore high degree of accountability 	<ul style="list-style-type: none"> Changes in the availability of supplies, knowledge or skills of service providers, advocacy-related products, rights holders' access to information, etc. 	<ul style="list-style-type: none"> Laws, policies and standards for child protection drafted Services and service delivery mechanisms supported – including promotion, prevention and response actions Human and fiscal resources and management or capacities supported Communication and advocacy for child protection supported Collaboration and coordination for child protection supported Evidence and data on child protection exists for decision-making Change of social norms supported
ACTIVITIES	<ul style="list-style-type: none"> Actions taken or work performed through which inputs are mobilised to produce specific outputs 		
INPUTS	<ul style="list-style-type: none"> Financial, human, material, technological and information resources used for development interventions 		

Source: United Nations Development Group, 'Results-Based Management Handbook', UNDG, New York, 2011.

60 Based on UNICEF's Strategic Plan 2014–2017 and UNICEF's latest understanding of a child protection system: "The actors engaged in child protection include children and youth, families, communities, government and civil society and private organizations. The effectiveness of child protection depends on: (i) laws, policies, and standards; (ii) services and service delivery mechanisms (comprising promotion, prevention and response actions); (iii) human and fiscal resources and management (or capacities); (iv) communication and advocacy; (v) collaboration and coordination, and (vi) evidence and data for decision-making. When these actors and components work together in any particular context, conscious of the culture, social and political environment, they create a child protection system that is better able to protect all children from violence, exploitation, and abuse."

EXAMPLES OF THEORIES OF CHANGE IN CHILD PROTECTION

- A generic **theory of change of violence against women and children** is laid out in *A Theory of Change for Tackling Violence against Women and Girls*, Guidance Note 1, DFID, 2012.
- UNICEF has laid out its **theory of change** for how to reduce the number of **children in detention** and integrate them in the community in the CEE/CIS region, in the *Terms of Reference for a multi-country evaluation of the impact of juvenile justice system reforms on children in conflict with the law (2006–2012)*, draft, 2013.
- UNICEF has laid out its **theory of change** for how **vulnerable children without parental care** would be cared for in a family environment in the CEE/CIS region in the *Terms of Reference for a multi-country evaluation of results achieved through child care system reform 2005–2012*, 2013.
- **Preventing sexual violence and building healthy, safe and peaceful communities**, UNICEF, 2014. *Pathway to Change and Logical framework for pathway to change*.
- A child-centred **theory of change** about how to increase **community resilience to disaster** is included in the *Child Centred DRR Toolkit*, Plan International, p. 77.
- *Child Abuse Prevention Theory of Change and Logic Model*, draft, The Family Tree, 2007.
- *Theory of Change on the Prevention and Response to Sexual Abuse and Exploitation of Children*, UNICEF, 2015.

Module 2, STEP 1: Clarify theories of change

The definition of impact and related outcomes and outputs should be **based on evidence of what works** to achieve the impact (in cases where this evidence exists).⁶¹ This is where we require sound **theories of change**.

A theory of change provides a **blueprint** of the **building blocks** needed to achieve long-term goals. At its core, a theory of change identifies:

- The **results** a development effort seeks to achieve
- The **actions** necessary to produce the results, in terms of outputs, outcomes or impact of that effort
- The **events** and **conditions** likely to affect the achievement of results
- Any **assumptions** about cause and effect linkages
- An understanding of the broader **context** in which the programme operates⁶²

Theories of change articulate the interventions needed to address the causes identified in the situation analysis, and the concrete results that those interventions will produce to achieve the desired impact. For child protection, theories of change would usually include both changes to the **child protection system, social norms** as well as how they **interact**. However, good theories of change for achieving an impact go beyond this general approach and are much more **detailed** and depend on the national or local **context**.

For child protection, clear, specific and empirically validated theories of change do not exist for all areas. Where no robust evidence based theory of change is available, we can **start with a hypothesis** of ‘what works’ based on the available evidence and then further **refine and validate** it through programme implementation. This does require, however, solid and meaningful M&E of the child protection programme on all levels of the results chain (see [Module 3](#)).

⁶¹ In practice, this will typically be a reiterative statement where we will be going back and forth between refining both the impact statement and the theory of change.

⁶² United Nations Children’s Fund, ‘*Programme Policy and Procedure e-Manual, Section 3.5.1: Principles of Results Based Management*’, UNICEF, 2012.



In general, theories of change of an existing child protection programme can be **(re)constructed** by:

- **Reviewing evidence-based literature** (programme documents, evaluations, peer-reviewed literature and other robust documented evidence on what works in child protection)
- Finding out the **underlying assumptions** of a programme (through interviews with key stakeholders, discussion workshops, programme monitoring information, etc.)⁶³

A theory of change is always a **simplification** of a more complex reality; cause and effect in child protection rarely travel in a straight line, as in 'fix this cause and that effect will stop'. To support child protection systems, a **nonlinear** theory of change might often be better suited than a linear approach (examples below). However, it is important to think through and map out the **most important, expected cause-effect relationships** in advance, drawing on evidence of what works to the extent possible and noting any assumptions.

There can be different theories of change for **different population groups** (e.g., birth registration for the majority ethnic group compared to indigenous population) or **different stages** of a programme (initially changing attitudes about sexual violence might require a different theory of change than later in the programme). The theory of change may also vary by **child protection issue**, depending on the patterns of inequities, and the main programme interventions that may be needed to address the problem. For example, interventions to prevent and respond to sexual violence may be different from those for improving the justice system for children.

EXAMPLES OF NONLINEAR THEORIES OF CHANGE:

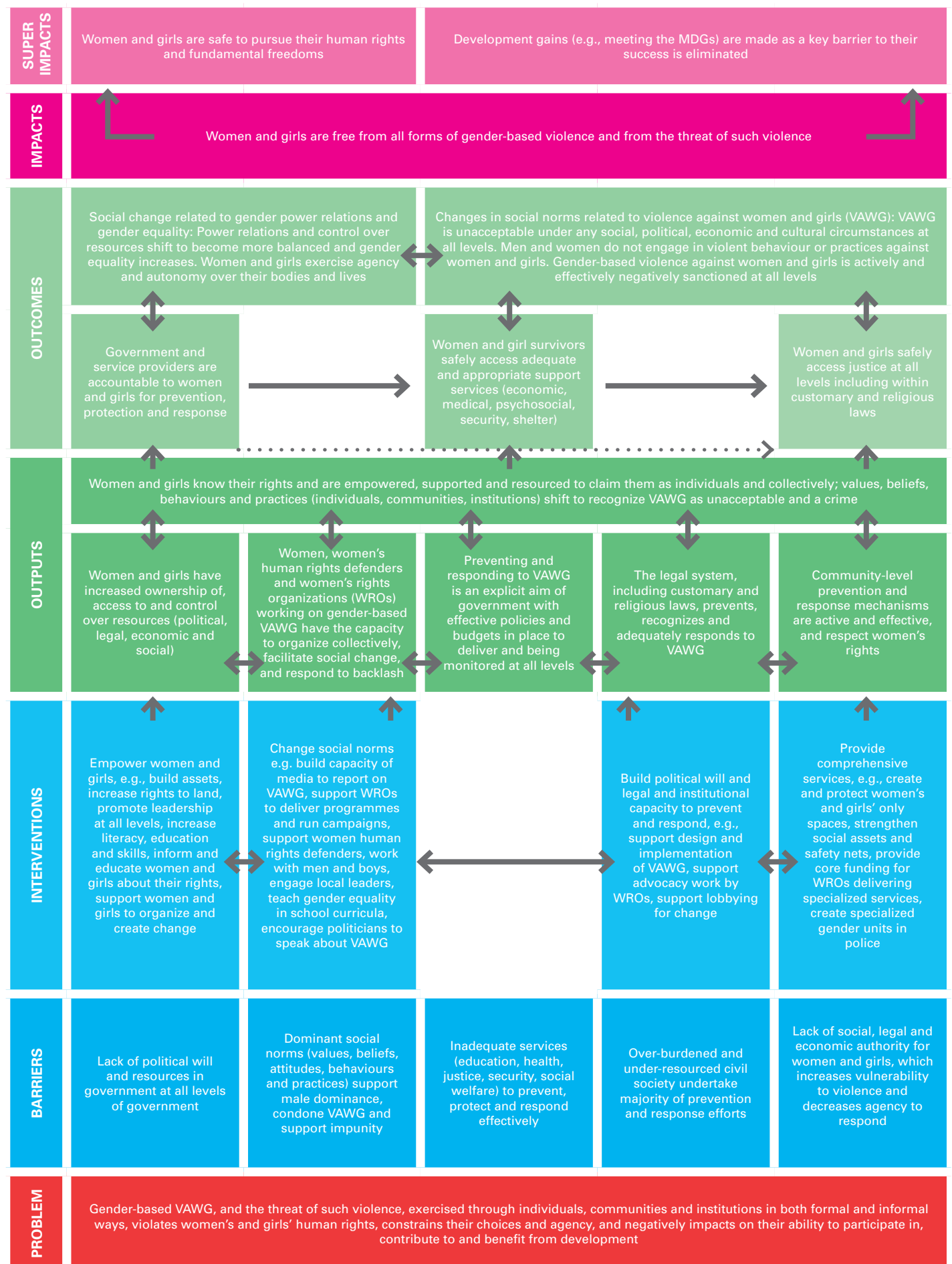
- Three nonlinear theories of change are presented in ***Theory of Change: A practical tool for action, results and learning***, Annie E. Casey Foundation, 2003.

RESOURCES

- An **introduction and templates** for how to develop theories of change can be found in ***Developing a Theory of Change: A framework for accountability and learning for social change***, Keystone.
- A **review of how theory of change is being used** in order to learn from this growing area of practice can be found in ***Review of the Use of 'Theory of Change' in International Development***, DFID, 2012. This review also contains a number of non-child-protection-specific examples in [appendix 3](#).

⁶³ See Funnell, Sue C., and Patricia J. Rogers, *Purposeful Programme Theory: Effective use of theories of change and logic models*, John Wiley & Sons, San Francisco, 2011, pp. 114–116.

FIGURE 7: Graphical representation of a generic theory of change on tackling violence against women and girls



Module 2, STEP 2: Define impact and indicators

Impact is the desired long-term change in people's lives. Globally, the expected impact of UNICEF's work on child protection is improved and equitable prevention of and response to violence, abuse, exploitation and neglect of children.⁶⁴ This implies a **reduction in the prevalence of violence** against, and the **abuse, exploitation and neglect** of children. While UNICEF and the broader United Nations expect to **contribute** to the potential impact, it is by definition a high-level result that will also depend on external factors and other actors.

Based on the situation analysis described in detail in [Module 1](#), one can identify one or more **manifestations of violence, abuse and exploitation of children** in a country. As UNICEF typically cannot address *all* development problems, we **need to prioritize** which problems it will help to reduce or eliminate. To identify top strategic priorities, the United Nations country team and UNICEF are guided by three criteria:

- Which aspects of child protection are **major national challenges**?
What are the **magnitude** and **trends** of child protection problems in the country?
- Does UNICEF and/or the United Nations country team have a **comparative advantage** in addressing child protection or a specific child protection issue?
- Is UNICEF and the United Nations country team sufficiently **aligned with key actors** within government and civil society who have decision-making power or who can influence national priorities and support the United Nations country team action?

Only development issues which fulfill all three criteria can typically **become a top strategic priority** for the United Nations country team. To **make the case** that **child protection** in general or a specific child protection issue is a strategic priority requires UNICEF to credibly demonstrate that it meets *all* three criteria. This needs to be backed up with data and facts collected and analysed in the situation analysis (see [Module 1](#)).

64 United Nations Children's Fund Executive Board, *Final Results Framework of the UNICEF Strategic Plan, 2014–2017*, E/ICEF/2014/8, United Nations, New York, 4 April 2014.

RESOURCES

- ***How to Prepare an UNDAF: Part II - Technical Guidance for UN Country Teams***, United Nations Development Group, New York, January 2010, pp. 28–33.

Strategic priority-setting for United Nations country teams

1. Top strategic priority
2. Potential high priority, if UNCT can use negotiation/consensus-building to gain alignment
3. Potential high priority, if others cannot meet demand and UNCT capacity building is feasible
4. Lower priority: does not meet major national challenge

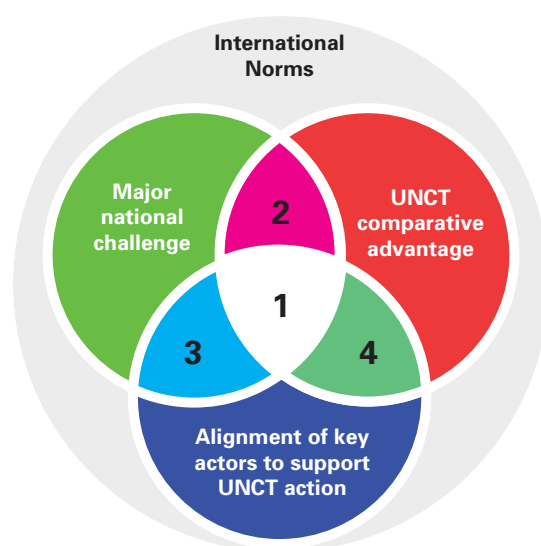


TABLE 11: ELEMENTS OF A COMPLETE INDICATOR WITH BASELINE, TARGET AND MEANS OF VERIFICATION

Outcome	Indicator	Baseline	Target	Means of verification
By 2018, a system and favourable social norms are in place to prevent and respond to violence in schools	National legislation has been passed that prohibits corporal punishment in schools	No (2013)	Yes (2015)	Ministry of Education decree document
	Percentage of cases of violence and abuse in schools that are referred to appropriate services	3% (2013)	15% (2017)	Monitoring system of the Ministry of Education
	Percentage of caretakers who say other caretakers they know beat children	47% (2013)	20% (2017)	Additional module to national household surveys

TOOLS

- *Logical Framework Template*, in **UNICEF Programme Policy and Procedure Manual, Section 3.5.5: Using a Logical Approach to finalize the Programme Design**, UNICEF, 2012.
- *Results-Based Management Handbook*, UNDG, 2011.
- *Updated RBM Technical Briefs on outcomes, outputs, indicators, and assumptions and risks*, UNDG, February 2011.

If a top priority equity gap is linked to one or more **UNICEF corporate results** and UNICEF is in the **best position** among United Nations agencies and organizations to address the problem, UNICEF can **decide to support the reduction** of a particular equity gap. This decision will also need to take into consideration whether UNICEF has sufficient **financial** and **human resources** and funds available, or if such resources and funds can realistically be mobilized.

IMPACT STATEMENT

Until now, UNICEF country offices did not often **explicitly define** the expected long-term impact of their work on child protection. This can lead to a situation where a programme lacks a general direction. Further, without clearly defining the desired impact, it becomes more difficult to establish a credible storyline to demonstrate UNICEF's contributions for reporting and for resource mobilization. It also becomes difficult to develop a more robust evidence base of what works under what conditions and why.

The expected positive impact of a child protection programme usually has some relationship with **internationally agreed development goals**, national development goals and **obligations arising from international conventions and treaties** like the CRC, the Convention on the Rights of Persons with Disabilities, and CEDAW.

Impact statements at the country level – as well as outcome statements – are formulated **jointly with UNICEF's counterparts and partners**. In line with the UNICEF Strategic Plan 2014–2017 and with the UNDAF process, they usually are not limited to a



specific sector but refer generally to the well-being of children as a result of improvements across sectors. An example of a country-level impact statement is:

- “By 2018, children in country X are healthier, better educated and better protected from violence, exploitation, abuse and neglect.”

However, even if the impact statements are formulated in this way, it would still be important to be clear amongst relevant partners on the main child protection issues that would be of primary focus, based on the situation analysis (and noting that these issues are priority entry points to strengthening the child protection system to eventually address a range of issues). It is important for UNICEF and partners to clearly establish the impact they aim to achieve in relation to child protection, even if this is not recorded in a formal document or system.

IMPACT INDICATORS

Indicators are quantitative or qualitative variables that allow us to verify changes produced by an intervention relative to what was planned. The indicator **baseline** is the status of the indicator at the beginning of an intervention. The indicator **target** is what one hopes to achieve by the end of the intervention. **Means of verification** are the source of the data for the indicator. Indicators are an important – arguably *the* most important – tool for M&E, and hence form the **backbone of an M&E system**.

Impact indicators for child protection typically capture the **prevalence of violence** against children and the **abuse, exploitation** and **neglect** of children or aspects of these.

There is no **standard set of impact indicators**, since the desired impact is highly country- and context-specific. Where a country’s impact statement is cross-sectoral, the selection of indicators provides an opportunity to **specify the concrete child protection impact** a programme is contributing to. The process of identifying and using impact indicators is also an opportunity for **strengthening national data collection systems**.

Impact indicators should – where possible and where it adds value to our understanding of child protection violations – be **disaggregated** by wealth, age, sex, ethnicity, religion, disability, geographic location, urban/rural, household composition, etc., in order to ensure that vectors of inequity are being captured and addressed.

UNICEF has a set of **global indicators** as part of the Strategic Plan 2014–2017,⁶⁵ so it will often be useful to include these indicators, where relevant, as country office impact indicators as well, with appropriate disaggregation.⁶⁶

Impact indicators from the UNICEF Strategic Plan:

- Number of violent deaths per 100,000 children
- Percentage of women 20–24 years **married** or in a union by age 18
- Percentage of children under five whose **birth is registered**

Outcome indicators from the UNICEF Strategic Plan (but may be considered impact indicators at the country level):

- Percentage reduction in proportion of girls 15–17 years who have ever experienced sexual violence (forced to have sexual intercourse), in countries with prevalence of at least 5 per cent
- Percentage reduction in proportion of children aged 2–14 years who experience violent **disciplinary practices** by an adult member of the household
- Percentage reduction in number of children in **detention** per 100,000 child population
- Percentage reduction in proportion of girls 0–14 years undergoing **FGM/C**
- Percentage reduction in proportion of children 5–14 years involved in **child labour** in countries with prevalence of at least 10 per cent (definition will change by 2017 to refer to ages 5–17 years)

⁶⁵ United Nations Children's Fund Executive Board, *Final Results Framework of the UNICEF Strategic Plan, 2014–2017*, E/ICEF/2014/8, United Nations, New York, 4 April 2014.

⁶⁶ While these are considered outcome indicators in the Medium Term Strategic Plan at the global level, at the country office level they could be considered impact-level indicators.



- Percentage reduction in proportion of women 20–24 years married by age 18 years, in countries with prevalence of at least 25 per cent
- Percentage of parties to conflict listed in the annex to the Secretary-General’s report on children and armed conflict that enter into action plans to end grave violations against children

Obvious **data sources** for child protection impact indicators are **general household surveys** like MICS and DHS, specific national surveys like violence against children surveys, administrative data systems, surveillance systems and other information systems. For more details on **potential data** sources of child protection impact indicators see [Module 1, STEP 2](#).

RESOURCES

- ***Final Results Framework of the UNICEF Strategic Plan, 2014–2017.***
- Additional guidance on **indicators in general** in [STEP 3](#) of this module
- Additional sources and resources for child protection indicators in **table 15** of this module

Module 2, STEP 3: Define outcomes and indicators

Based on the theory of change, which is grounded in evidence of ‘what works’ to address the causes of problems identified in the situation analysis, a decision must be made about which interventions UNICEF will implement with partners to achieve the desired impact. This will help determine the scope of the outcome statements.

Taking the example of child labour in the previous module, the causal analysis revealed that poverty is a root cause of child labour in that particular country context. One evidence-based intervention in the theory of change could then be implementation or improvement of a social protection scheme that reaches the most vulnerable families.

RESOURCE

- Further information on the six strategies to address violence against children as well as related interventions can be found in: ***Ending Violence Against Children: Six Strategies for Action***, UNICEF, 2014.

Here are a few considerations for selecting evidence-based interventions to address a particular cause/set of causes:

- **Consider the 'six strategies' that UNICEF has identified to address violence against children:** Six strategies have been identified by UNICEF for effective prevention and response to violence against children: 1) supporting parents, caregivers and families; 2) helping children and adolescents manage risks and challenges; 3) changing attitudes and social norms that encourage violence and discrimination; 4) promoting and providing support services for children; 5) implementing laws and policies that protect children and 6) carrying out data collection and research. These strategies should be considered when identifying specific interventions.
- **Consider contribution to systems strengthening: When identifying interventions, we should ask:** How much does it contribute to the realization of effective and sustainable child protection systems? Building systems is a long-term endeavour requiring an incremental approach. Situations in which UNICEF can support and promote interventions addressing all gaps and levels of a system at the same time are unlikely to occur. Therefore, interventions need to be prioritized based on their potential impact on strengthening the overall system for child protection and ultimately addressing the child protection violations.
- **Ensure attention to both prevention and response:** Programmes should ensure that both prevention and response are accounted for in the continuum of services. Prevention and early intervention sometimes tend to be overlooked in favour of immediate assistance or interim care.
- **Logical flow from least complex to most specialized:** Because interventions will be necessarily incremental to achieve greater results, the selection of a particular intervention should be part of a logical flow from the least complex to the most specialized intervention. For example, trying to promote the development of highly specialized foster family services for severely abused children in a country where there is no functioning national foster care programme is neither effective nor sustainable.
- **Keep the focus on core building blocks and a holistic approach:** System and service flexibility is needed in order to respond to all forms of violence, exploitation, abuse and neglect. UNICEF should prioritize the development of core building blocks of a system rather than jumping to the promotion of specialized



services related to a particular problem, such as trafficking. A programming balance is necessary to ensure that even where a particular child protection issue is being addressed, the core elements in each system are being strengthened and services are not perceived narrowly as applicable only to a specific category of children. For example, child-sensitive police investigation procedures need to be designed for all child victims and witnesses – not just for the handling of trafficking cases. Overall, we should use holistic approaches that consider root causes, children’s experience of multiple forms of violence, their changing situation and shared access to a limited pool of service providers.

- **Ensure synergies with other sector programmes:** In identifying interventions, related sector programmes that could provide crucial synergies should be reviewed. Positive parenting practices and non-violent discipline techniques can be incorporated into early childhood development and maternal-child health programmes. Similarly, the Child-Friendly School model also provides opportunities for behaviour-change initiatives to be directed at school-age children as well as teachers and school administrators. For children this may include the development of a curriculum that focuses on social and emotional skills, emphasizes gender equality, addresses discrimination and challenges harmful practices, such as early marriage. For teachers and administrators, this may include information and skills training on non-violent classroom management, sensitization on child rights and training on identifying signs of child abuse, exploitation and neglect.
- **Always consider scale:** Maximizing impact also requires designing programme interventions that can be taken to scale. International experience and good practices are clear that ‘scale’ has to be designed into and should be part of every programme from the outset. It is rare, if even possible, to begin with yet another ‘pilot’ while assuming that it can be scaled up and then, only if it is successful, to try to take it to scale.⁶⁷
- **Ensure that all main causes of the problem are being addressed, either by UNICEF or other actors:** We should remember that if a problem has multiple main causes, then all causes must be addressed. Addressing only one or a few of the causes will not ensure that the problem is solved. If the UNICEF-assisted programme can only address one of three necessary conditions,

67 Adapted from UNICEF, ‘[Child Protection Programme Strategy Toolkit](#)’, UNICEF East Asia and Pacific Regional Office, Bangkok, 2009, pp. 30–35.

other government departments, United Nations agencies or other partners need to commit themselves to deal with the remaining conditions. After this discussion with partners, UNICEF assumes that the others will do what is necessary and record this as a critical planning assumption.

In addition, based on a synthesis of child protection programme evaluations from 2005 to 2010, there are a number of **lessons learned on how to design improved child protection programmes**:⁶⁸

- **Be clear:** The programme design requires conceptual clarity on the issues that need to be addressed and definitions from the very beginning (e.g., 'justice for children', 'deinstitutionalization', 'children on the move', 'social protection')⁶⁹
- **Combine social with systems change:** Programmes should combine longer-term support to social change with efforts to improve the child protection system.

Once interventions are selected, the determinant analysis using the determinant framework of MoRES should be applied to identify critical bottlenecks that hamper the effectiveness of interventions, assuming that the requisite interventions are in place. For example, if a social protection scheme is already being implemented but needs to be improved, a determinant analysis could then be conducted to identify main bottlenecks that are impeding effectiveness of the social protection scheme and need to be addressed. This will most likely draw on the causal factors identified during the situation analysis but will be more specific to this particular intervention. If the intervention is not yet in place, the determinant analysis can help guide the design process for the intervention by identifying the key conditions (or determinants) that are required for it to be effective.

As noted earlier, the determinant analysis is not only done as part of country programme preparation. It can be conducted during annual or mid-term reviews or as part of policy review/development processes with partners to understand bottlenecks/barriers that are impeding the effectiveness of interventions and how these can be addressed to accelerate progress towards the desired impact.

⁶⁸ Adapted from United Nations Children's Fund, 'Protecting Children from Violence: A synthesis of evaluation findings', UNICEF, New York, June 2012.

⁶⁹ A useful starting point is the [definitions of selected child protection terms](#).



When conducting the determinant analysis at a key milestone of the programme cycle (e.g., Country Programme Preparation or Mid Term Review), the analysis will help to develop or revise results statements, indicators and targets as described further in this Module.

SCOPE OF OUTCOMES

The outcome is a description of the **expected situation** at the end of a UNICEF-supported child protection programme. It refers to changes in the **behaviour, performance or coverage** of targeted institutions or individuals. An outcome is different from the impact since it is more **immediate**, less influenced by external factors and more influenced by UNICEF and its partners, and more **specific** than the desired impact. The impact is an end in itself (e.g., reduction of all forms of violence in schools), an outcome is a **means to an end** (e.g., functioning reporting lines in case of physical or sexual violence).

Generally, a child protection outcome captures changes towards more **effective, efficient and comprehensive child protection systems**, and/or changes towards positive **social norms, practices and beliefs** to prevent and respond to violence, exploitation, abuse and neglect related to children. This includes that duty bearers increasingly recognize that protection is critical to the overall well-being of children.

Child protection outcomes can include both **prevention** and **response** components. If there is one outcome statement related to social norms, and another related to the functioning of child protection systems, it is important to consider the relationship between these, as each element impacts on the other.

Often, the coverage of interventions – in terms of whether they are reaching the intended target population and are of good quality and are therefore effective – most likely will translate into the outcome-level result statements. For example, if a prioritized intervention is improving the reach and quality of a social protection scheme, an outcome statement might be: 'By 2017, 90 per cent of targeted vulnerable families with children benefit from

RESOURCES

- For further guidance on how to conduct a determinant analysis, see *The Determinant Analysis for Equity Programming*, UNICEF, August 2014.
- Case studies on applying the determinant analysis in child protection are included in *Pursuing Equity in Practice: A compendium of case studies on the Application of the Monitoring Results for Equity System (MoRES)*, UNICEF, 2015.

Additional resources for conducting the determinant analysis in child protection and country case studies will be developed based on country experiences.

unconditional cash transfers’, or in the case of a set of community based interventions for the abandonment of FGM/C: ‘By 2017, 80 per cent of targeted communities in Regions X, Y, Z declare abandonment of FGM/C.’

However, this depends on the number of outcomes the Country Offices wishes to have overall. If a UNICEF country office wishes to limit the total number of outcomes for the Child Protection Programme, the outcome statement could be very broad (to encompass the breadth of the programme); however, the office would need to be very clear about the specific results it wants to achieve. Multiple indicators could be attached to the single outcome statement to help measure progress towards the outcome. In line with this approach, the outputs would also need to be very specific.

If a UNICEF country office wants to limit the total number of outcomes for the Country Programme, it is possible that child protection can be **included as part of a cross-sectoral outcome statement**. If this is the case, it is still important to formulate a child-protection-specific outcome, even if it is not officially recorded in VISION (UNICEF’s Enterprise Resource Planning System). This will help in the identification of indicators linked to a theory of change, monitoring and adjusting of strategies later on.



TABLE 12: SCOPE OF TYPICAL CHILD PROTECTION OUTCOMES

Scope of outcome		Examples
Not specific to child protection	Cross-sectoral (including child protection)	<ul style="list-style-type: none"> By 2016, the most vulnerable children and mothers benefit from improved basic social services
Specific to child protection	Strengthening a child protection system	<ul style="list-style-type: none"> By 2015, the child protection system provides better services for the prevention of violence, abuse and exploitation of children By 2017, the child protection system applies a case management approach to violence, abuse and exploitation of children in accordance with international standards By 2016, a child-focused social welfare system is operational in all regions By 2015, a family support care system for vulnerable children and their families provides a continuum of services
	Positive social norms, practices and beliefs	<ul style="list-style-type: none"> By 2018, most parents and caregivers practise positive forms of child discipline By 2016, community leaders in the northern districts openly discuss sexual abuse and exploitation of children in their communities⁷⁰

Note: UNICEF country offices with a smaller number of outcomes tend to pitch outcomes at a higher level of cross-sectoral or system related results. Countries with a larger number of outcomes tend to pitch outcomes at a lower, more concrete level.

FORMULATION OF OUTCOMES

The **careful and considered formulation** of a **clear outcome** is of paramount importance. It shapes the way we think about a result. If an outcome is vague, unclear or open to subjective interpretation, it will be difficult to gauge progress, including when it comes to monitoring, reporting and evaluating the programme. While recognizing that some UNICEF country offices may limit the number of outcomes for the Child Protection Programme or Country Programme (see 'scope of outcomes' in the previous section for advice on how to address this), in general, UNICEF formulates outcome statements using the following **generic formula**:

BY [DATE], [RIGHTS HOLDER OR DUTY BEARER] [VERB] [CHANGE IN COVERAGE, BEHAVIOUR OR PERFORMANCE]

By	Rights holder or duty bearer	Verb	Change in coverage, behaviour or performance
By 2018	30 per cent more caregivers	cease	to practice violent discipline
By 2019	Ministries at national level and in five provinces	implement	the juvenile justice system in line with international standards
By 2017	At least 60 per cent of children from three non-majority groups in 20 districts	are	registered at birth

⁷⁰ For highly sensitive issues like FGM/C or incest, a change in capacity to openly discuss these issues can already be a challenging outcome for a child protection programme. In another context, this could be regarded as an output indicator.

Outcomes must be **specific, measurable, achievable, relevant and time bound** ('SMART'):⁷¹

TABLE 13: 'SMART' OUTCOMES FOR CHILD PROTECTION

Specific S	Outcomes should precisely and clearly state the expected change . They should be described with as much detail as possible, thus leaving no room for interpretation. Words like ' <i>adequate</i> ', ' <i>improved</i> ', ' <i>increased</i> ', ' <i>support</i> ', ' <i>safe</i> ', ' <i>comprehensive</i> ', ' <i>effective</i> ' are not specific.
	<i>NOT SPECIFIC: "Increased capacity of child protection services"</i>
	<i>SPECIFIC: "By 2016, multi-sectoral response and support services for violence against children – including health services, legal aid, psychosocial support, livelihood support, and social welfare services – are available for all children and families in 10 districts"</i>
Measurable M	It should be possible to assess whether the outcomes have been achieved . The expected results should be quantifiable wherever possible.
	<i>NOT MEASUREABLE: "Policy environment for child protection improved"</i>
	<i>MEASUREABLE: "By 2018, the prevention of violence is integrated into seven key social policies (listed in footnote)"</i>
Achievable A	It should be feasible for UNICEF and its partners to achieve the outcomes in the planned time and with the necessary resources .
	<i>NOT ACHIEVABLE: By 2017, all children in the country are registered at birth</i>
	<i>ACHIEVABLE: By 2016, 95 per cent of children under one year are registered at birth (including 75 per cent of indigenous children)</i>
Relevant R	The outcomes should (a) help achieve national priorities ; (b) be in line with UNICEF's global priorities as outlined in the Strategic Plan ; and (c) be part of or contribute to UNDAF outputs or outcomes.
	<i>NOT RELEVANT: By 2017, three NGOs have costed plans to prevent violence against children.</i>
	<i>RELEVANT: By 2017, multi-sectoral response and support services concerning violence against children are incorporated into the government's Medium Term Expenditure Framework (MTEF)</i>
Time-bound T	Outcomes should not be open-ended but linked to a defined time in the future . To keep in mind that every result must be time-bound, it helps to include at least the year when the outcome is expected to be achieved.
	<i>NOT TIME-BOUND: Fewer than 20 per cent of children awaiting sentence will be held in detention</i>
	<i>TIME-BOUND: By 2015, fewer than 20 per cent of children awaiting sentence will be held in detention</i>

Source: Adapted from *Smart Test for Results*, UNICEF.

An outcome – and other result statements – should be described using **change language**, not action language. Action language emphasizes the provider's perspective and reflects an intent and possible course of action ('*to promote birth registration*'). Change language, on the contrary, expresses results from the perspective of the people/institutions the programme intends to serve and states concretely what will have been achieved by that point in time ('*more children have been registered*').

⁷¹ The same applies to impact and output statements.



TABLE 14: ACTION LANGUAGE VS. CHANGE LANGUAGE

Action language	Change language
To strengthen national capacities for preparedness and response to emergencies	By 2016, the Ministry of Social Services is prepared and able to respond to emergencies
To support the reduction of violence in schools	By 2018, less than 5 per cent of pupils in 3 targeted regions experience violence in schools
To make child protection systems in 55 districts functional	By 2017, child protection systems in 55 districts refer, care for and support at-risk children and victims of violence and abuse

Ideally, an outcome incorporates only a **single, clear and specific** result. Combining two or more result statements in a single outcome (so-called 'compound results') makes management, monitoring, evaluating and reporting on it unnecessarily complex and challenging. Qualifications like 'with special emphasis' or 'including' are not useful since they blur the clarity of a result and complicate the logical linkages with higher level results.

An example of an unclear and convoluted result statement is the following:

- "By 2017, government and service providers are accountable for supporting prevention and response to sexual violence against children, and all children who have experienced sexual violence are able to safely access adequate support services and justice, including within religious and customary law, and protective capacity of families and communities to prevent sexual violence against children is strengthened."

Examples for clear outcome statements with a single objective are:

- "By 2018, laws related to child protection are in line with the United Nations Convention on the Rights of the Child and its optional protocols."
- "By 2016, 200 schools in two provinces have reduced gender-based violence by 30 per cent."
- "By 2015, birth registration of under-five children in the provincial capital cities has increased from 30 per cent to 50 per cent."

RESOURCES

- A set of standard **child protection outcomes of Save the Children** can be found in *Child Protection Menu of Outcome Indicators*, Save the Children, 2013.
- The **UN's definition of outcomes** is described in *Updated RBM Technical Briefs on outcomes, outputs, indicators, and assumptions and risks*, UNDG, February 2011.

However, some UNICEF country offices might be pushed towards an outcome statement with **multiple objectives**. This typically happens if an outcome combines work on both child protection systems as well as social norms in a single statement. Further, small country offices may want to **limit the number of outcomes**, often due to high and diverse **expectations** from governments or donors, **expectations** based on previous Country Programme cycles and/or resource limitations. In these cases, a **set of focused indicators** can help obtain more clarity and focus. While not ideal, an outcome statement with multiple but specific objectives is still preferable to outcome statements that are so broad that they become meaningless.

OUTCOME INDICATORS

Outcome indicators provide an indication of whether the stated outcome has been met and thus typically capture changes in behaviour or performance of targeted institutions or individuals. Outcome indicators for child protection, more specifically, should track the extent of improvements in the **effectiveness, efficiency and coverage of child protection systems** and/or the changes towards positive **social norms, practices and beliefs** related to child protection over time.

The appropriate full set of indicators for a child protection programme or a programme with a child protection component will **depend on the country-level outcome** and the **country context**.

Some illustrative examples of outcome indicators:⁷²

- Percentage of children diverted or sentenced who enter a pre-sentence diversion scheme
- Percentage of districts with functioning referral mechanisms and health, legal and social welfare services for cases of violence against children
- Percentage of targeted communities that have declared abandonment of FGM/C

72 United Kingdom Department for International Development, 'Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls', DFID How to note, DFID, London, 2012, p. 20. These example indicators are at the level of outputs in the UNICEF Strategic Plan, but could be at the level of outcomes in a country programme.



The discussion process with **partners** about which outcome indicators to use will often reveal (and help reduce) differences in understanding or expectations among UNICEF and its partners; the process can yield not only consensus on the indicators, but also a clearer common understanding of the expected results. Indeed, the process of agreeing on indicators often entails going back to the outcome statements and adjusting, clarifying or revising them. Thus it is paramount that we define indicators in close collaboration with government partners and implementing organizations, to get to a broad agreement and consensus about the planned results.

There is often a temptation to collect too much information. Since indicators should be a good guide to the information that is *really* important, selecting an interrelated set of **three to five indicators per outcome** is usually a good rule to start with.

As any indicator, outcome indicators require – in addition to a baseline – also a **target**. Setting indicator targets on the outcome level is often difficult, since changes in child protection systems or social norms can be difficult to foresee. The time line of change will also depend on the specific child protection system and the country context. In general, targets should be set by child protection specialists together with area specialists with an intimate knowledge of the country context.

To the extent possible, indicators should make use of **existing data**. The design of outcome indicators therefore relies usually on an extensive review of secondary data on child protection, which should have been mapped and collected for the situation analysis. If this has not been done, such a data review needs to be conducted before starting to think about possible indicators (see Module 1, STEP 2).

There are a number of **guidelines, examples, ‘menus’ and data sources** for child protection indicators. Some of the key resources are listed in table 15 as a starting point for developing and tailoring outcome indicators for a child protection programme:

TABLE 15: RESOURCES FOR CHILD PROTECTION OUTCOME INDICATORS

Issue	Guidelines or ideas on indicator	Comments
GENERAL	<u>Measuring and Monitoring Child Protection Systems: Proposed regional core indicators for East Asia and the Pacific</u> , UNICEF, 2012.	37 indicators with detailed descriptions covering seven key domains for governance of national child protection systems which were piloted in 2013
	<u>Child Protection Indicator Menu</u> , in Menu of Outcome Indicators, Save the Children UK, 2008.	Examples for outcome indicators for 7 typical child protection outcomes
	<u>Compendium of Indicators for Measuring Child Well-being Outcomes</u> , World Vision International, 2012.	Indicators on child care, protection, participation and birth registration (pp. 52–61)
	<u>Assessing Effectiveness in Child Protection: Thematic paper</u> – Draft for consultation, BOND, London, March 2014.	Contains a table of indicators organized by child protection issue
VIOLENCE AGAINST CHILDREN	<u>Violence Against Children surveys</u> under the <u>Together for Girls</u> partnership.	National surveys done by the Centers for Disease Control and Prevention under the Together for Girls partnership data on the magnitude and impact of sexual violence
	<u>Manual for the Measurement of Indicators of Violence against Children</u> (draft), UNICEF.	12 indicators on violence against children; includes one-page profile for each indicator and methods for measuring it (in draft stage only)
	<u>Violence Against Women and Girls: A compendium of monitoring and evaluation indicators</u> , USAID, Inter-Agency Gender Working Group, and Measure Evaluation, 2008.	Indicators covering (a) magnitude and characteristics; (b) health, education, justice/ security; social welfare; and (c) under-documented forms of violence against women and girls; (d) preventing violence against women and girls
CHILDREN WITHOUT FAMILY CARE	<u>Manual for the Measurement of Indicators for Children in Formal Care</u> , Better Care Network and UNICEF, 2009.	Set of common global indicators for children in formal care, which includes children living in institutional care or formally arranged foster family care
	<u>Children without Appropriate Care Indicators</u> , in Child Protection Outcome Indicators, Save the Children UK, December 2012.	Menu of outcome indicators organized around predesigned outcome statements for children without appropriate care
	<u>Guide to Monitoring and Evaluation of the National Response for Children Orphaned and Made Vulnerable by HIV/AIDS</u> , UNICEF, 2005.	Methods and tools for M&E of the national response
	<u>Developing and Operationalizing a National Monitoring and Evaluation System for the Protection, Care and Support of Orphans and Vulnerable Children Living in a World with HIV and AIDS</u> , Working paper, UNICEF, 2009.	Guidance on national orphans and vulnerable children monitoring systems, including indicators and costing
	<u>Progress in the National Response to Orphans and other Vulnerable Children in sub-Saharan Africa: The OVC Policy and Planning Effort index (OPPEI) 2007 Round</u> , Working paper, UNICEF, 2008.	Core composite indicator for M&E of the national response to orphans and vulnerable children
	<u>TransMonEE database</u> .	4 indicators on formal care and adoption in Central and Eastern Europe
FGM/C	UNFPA/UNICEF Joint Programme II Results Framework, in Funding Proposal, <u>UNFPA/UNICEF Joint Programme for Phase II: Abandonment of female genital mutilation/cutting – Accelerating change</u> , UNFPA/UNICEF, New York, 2014, p. 23.	List of standard indicators for FGM/C with descriptions



CHILD LABOUR	<u>Development of Indicators on Child Labour</u> , International Labour Organization, 2000.	Contains a list of 22 potential indicators for tracking child labour
	<u>YouthSTATS indicators</u> .	List of indicators included in the YouthSTATS database, with definitions
JUSTICE FOR CHILDREN	<u>The United Nations Rule of Law Indicators: Implementation guide and project tools</u> , UN, 2011.	Includes a number of indicators related to child protection ⁷³
	<u>Manual for the Measurement of Juvenile Justice Indicators</u> , UNICEF and United Nations Office on Drugs and Crime, 2006.	15 juvenile justice indicators and their use
CHILDREN ON THE MOVE	<u>Children on the Move Indicators</u> , in Child Protection Outcome Indicators, Save the Children UK, December 2012.	Menu of outcome indicators organized around predesigned outcome statements for children on the move
EMERGENCIES	<u>Core Commitments for Children indicator guide</u> , module on child protection, UNICEF, 2012.	14 proxy indicators for high-frequency reporting
	<u>Minimum Standards for Child Protection in Humanitarian Action</u> , Child Protection Working Group, Geneva, 2012.	Contains a set of outcome and action/output indicators for each minimum standard related to child protection in humanitarian action
	<u>Children without Protection in Emergency Indicators</u> , in Child Protection Outcome Indicators, Save the Children UK, December 2012.	Menu of outcome indicators organized around predesigned outcome statements for child protection in emergencies
	<u>Compendium of Indicators for Disaster Risk Reduction</u> , World Vision International, 2012.	List of indicators for disaster risk reduction, including protection and participation

73 For example, responses to sexual crimes against women and children, police implementation of child-friendly policies and procedures, police response to children in conflict with the law, children in pre-sentence detention, treatment of children by the courts, detention of children only as a last resort, and children not detained separately from adults.

GENERAL RESOURCES ON QUALITATIVE METHODS

- *Qualitative Research Methods for Use in Equity Focused Monitoring*, UNICEF, New York, 2014.
- For an **extensive description and resources on qualitative data collection methods** see *Collect and/or Retrieve Data*, BetterEvaluation.
- **EuropeAide**, *Evaluation Tools*, 2005.
- *IPDET Handbook, Module 8: Data collection methods*, The World Bank, 2007.

RESOURCE ON CHILD PROTECTION

- *How to Research the Physical and Emotional Punishment of Children*, a resource handbook from International Save the Children Alliance, 2004, describes tools for scientific and ethical research on this topic and contains a 12-step process for planning, data collection, analysis and writing reports, supported by a toolkit.

EXAMPLE

- As part of the wider Young Lives project, the *Young Lives Longitudinal qualitative research* is based on in-depth qualitative research with a sub-sample of the Young Lives children. It tracks 50 children in each study country, using a case study approach to document their changing life trajectories over time and complements a large-scale household survey.

PLANNING QUALITATIVE TOOLS

While outcome indicators usually rely on quantitative data (even ‘subjective’, qualitative information can often be expressed in numbers), this is often not enough. We typically require in-depth **qualitative tools** to better understand **why** changes at the outcome level occur (or do not occur), what people’s **perceptions** and contextual **experience** are, etc. It is a particularly useful method in child protection to develop **hypotheses or theories or to triangulate** qualitative data with quantitative data.

To the extent it can be foreseen, qualitative data collection should already be **planned and budgeted at the planning stage** of a child protection programme.

The need to use additional qualitative tools can also arise **during the implementation** of a child protection programme. For example: Quantitative MICS and DHS data from a survey in Senegal showed that FGM/C rates in rural areas went down, but rates in urban areas went up. In this case, undertaking a qualitative piece of data collection could help explain why this happened.

There is a wide range of qualitative methods. In general, qualitative data collection is usually based on information from individuals and groups as well as observations.



QUALITATIVE DATA COLLECTION METHODS POTENTIALLY SUITABLE FOR CHILD PROTECTION

INFORMATION FROM INDIVIDUALS:

- **Individual case studies or life histories:** providing a glimpse into how people experience their lives and the impact of specific projects/programmes
- **In-depth interviews** (structured, semi-structured or unstructured)
- **Key informant interviews:** interviewing people who have particularly informed perspectives
- **Peer/expert reviews:** drawing upon peers or experts with relevant experience and expertise to assist in the evaluation of some aspect or all of a programme
- **Polling booth:** collecting sensitive information from participants anonymously
- **Photo voice:** participatory photography as an empowering option of digital storytelling for vulnerable populations
- **Photo language:** eliciting rich verbal data where participants choose an existing photograph as a metaphor and then discuss it
- **Photo elicitation:** participants selecting one or two pictures from a set and using them to illustrate their comments about something

INFORMATION FROM GROUPS:

- **Focus groups:** discovering the issues that are of most concern for a community or group when little or no information is available.
- **Delphi study:** soliciting opinions from groups in an iterative process of answering questions in order to gain a consensus.
- **Participatory group techniques** (e.g., Participatory Ranking Methodology, Most Significant Change)

- **Free listing:** identifying criteria by which a certain issue (e.g., physical punishment of children) is understood in a particular culture or community
- **Mapping tools:** involves children or adults drawing a map of some kind which is then used to generate discussions (e.g., rich pictures to illustrate interrelationships between different factors)

OBSERVATIONS:

- **Field trips:** organizing trips where participants visit physical sites
- **Transect:** gathering spatial data on an area by observing people, surroundings and resources while walking around the area or community
- **Non-participant observation:** observing participants without actively participating
- **Participant observation:** identifying the attitudes and operation of a community by living within its environment
- **Photography, video, audio recordings:** discerning changes that have taken place in the environment or activities of a community through the use of images taken over a period of time

OTHER:

- **Ethnography:** participant observation, field notes, interviews, and surveys are used to represent graphically and in writing the culture of a people

Source: Based on BetterEvaluation, '[Collect and/or Retrieve Data](#)', Web page, BetterEvaluation; and Ager, Alastair, et al., '[Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises](#)', United Nations Children's Fund, New York, 2011.

TYPICAL CHALLENGES FOR DEFINING OUTCOME INDICATORS

A number of **typical challenges** occur when trying to define child protection outcome indicators. These challenges and potential solutions also apply to indicators at the impact level.

These are some suggestions on how they can be overcome:

■ What to do if no direct measurement is available?

With the specific challenges to measure child protection, it is often not possible to use indicators which directly measure results. In these cases, **indirect (proxy) indicators** are useful. There are typically three ways to identify a proxy indicator:

- Track the **causes** of an expected change in child protection (e.g., the attitude towards FGM/C as a proxy for its prevalence)
- Track the **consequences** of an expected change in child protection (e.g., an increase in calls to a child help line pertaining to sexual abuse as a proxy for increased awareness or knowledge on sexual abuse of children – assuming that violence itself does not significantly change)
- Track not all but the most **important parts** of an expected change (e.g., changes in only two key laws as a proxy for an overall improvement in the legislative environment for child protection)

FIGURE 8: Options to identify potential proxy indicators



■ What to do if there is no obvious target

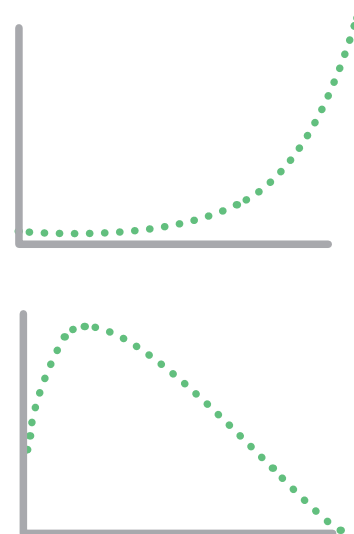
Outcome indicators require a target. In some cases, targets can be drawn from international agreements or conventions. For example, the elimination of the worst forms of child labour by 2016 was set as a target during the Hague Global Child Labour conference 2010. In other cases, national planning documents and/or child protection strategies will contain national targets we can use.⁷⁴ In many cases, however, no obvious target for a child protection indicator is readily available. There are **no technical tools for setting an indicator target**, but it requires the **best estimate** by child protection experts in the country at what threshold an intervention is considered a success. Target setting *must* be done together **with all partners** to build a broad consensus as to what success looks like.

■ What to do if the target is not linear

In many cases, the value or status of an indicator is not expected to change in a **linear manner** (e.g., an increase of 5 per cent *per year*). For example, an indicator tracking social norms might not show any change over a number of years, but move quickly once a certain tipping point has been reached (see the top graph in figure 9). Or, the value of the indicator ‘Number of reported cases of violence against children in school’ could initially rise due to increased awareness in a community. However, in the long run the indicator is expected to fall as a result of a better system to prevent violence in schools (see the bottom graph in figure 9).

By including **indicator milestones**, we can make it clear that the expected change is not a linear development. A milestone is an **intermediate target**. For example, to track changes in stigmatization of children with disabilities, the indicator ‘Percentage of the population who perceive that others have a positive attitude towards children living with a disability’ could be used. The baseline might be set at 15 per cent and the target 40 per cent after year five. If a rapid increase is only expected after year three, milestones can be used (year one: 15 per cent; year two: 15 per cent; year three: 20 per cent; year four: 30 per cent; year five: 40 per cent).⁷⁵

Figure 9: Nonlinear targets



74 In those cases where the ‘official’ target is obviously unrealistic, the preferred option is to go with a more realistic target based on an informed estimation by UNICEF and its partners, while footnoting the official target.

75 Setting milestones requires an in-depth understanding of the nature of the problem and the intervention. Although data from other countries and similar situations can be drawn upon, milestones are ultimately based on an informed, well-documented estimation by child protection specialists.

■ What to do if quantification is not useful or possible

In some cases, quantitative data for outcome indicators **do not make sense or are not available**. In child protection, this is particularly the case with regard to **policy work** (e.g., whether laws and policies are in place or not), **data analysis** (e.g., whether child protection data are available or not) or **services and interventions** (e.g., whether a new service is available or not). However, simplistic outcome indicators with a baseline and target of 'yes' or 'no' (e.g., 'improved policy coordination for child protection') add little value. They are weak because (a) they tend to rely on a subjective judgment by somebody, and (b) they are insensitive to change. Instead, a yes/no indicator can often be **turned into a qualitative indicator using a weighted scale or checklist** (sometimes called a 'quantitative indicator of quality') that is more sensitive to change over time.

TABLE 16: EXAMPLES OF HOW TO TURN A YES/NO OUTCOME INDICATOR INTO A QUALITATIVE INDICATOR USING A WEIGHTED SCALE

LIMITED USE: Yes/no indicator	BETTER: Quantitative indicators using a weighted scale
Improved policy coordination for child protection (baseline: no, target: yes)	Extent of policy coordination for child protection (baseline: 2 points, target: 10 points) Scale from 0 to 10: (a) parliamentary oversight body exists: 2 points; (b) interministerial mechanism in place that coordinates child protection activities that meets at least 3 times per year: 5 points; (c) international development agencies have coordination mechanism for child protection that meets at least 10 times per year: 3 points
Costed strategy for child protection in place (baseline: no, target: yes)	Existence of costed strategies for child protection (baseline: 0 points, target: 3 points) Scale from 0 to 3: (a) government has a costed strategy for child protection: 1 point; (b) strategy is considered explicitly during the budget process: 1 point; (c) strategy matches child protection priorities to resource allocation: 1 point

■ How to measure outcomes related to social norms

Measuring child protection outcomes that focus on positive social norms is usually challenging, requires careful preparation and still lacks established and proven data collection tools. The difficulty partially derives from the fact that social norms **cannot always be inferred from behavioural observation**. One may continue with a behavior out of fear of social sanction, even if the person personally disagrees with the practice.

Measuring **beliefs about others** – particularly when they differ from an individual's or group's observed action – can be challenging. Respondents may provide answers that reflect a social desirability bias or try to anticipate what behaviour or



attitude the enumerator approves of and is trying to promote. Questions about what others think are conceptually difficult to communicate and may generate data that does not represent reality and is not meaningful.

Despite the challenges, **quantitative measurement** of social norms is a valuable addition to qualitative work, allowing for measurement of baseline norm prevalence and change in attitudes over time. To obtain reliable quantitative data on social norms, a set of **sample surveys** are the potentially most accurate measurement tool to track social norms over time. Sample surveys need to go beyond the standard survey questions on respondents' knowledge, attitudes and practices (i.e., traditional KAP surveys), and measure the respondents' **beliefs about others** ('What do people typically do?', 'What do people think it is appropriate to do?')

The identification of the **reference network** in order to measure an individual's beliefs about others is a necessary first step for most surveys or research on social norms.⁷⁶ The reference network includes everyone whose opinion matters to an individual in a certain situation. Particularly important is identifying the most influential people for an individual within the reference network, as these influencers may be key in catalyzing broader behaviour change. Depending on the situation, the most important person in the reference network may, for example, be one's father, mother, mother-in-law, religious leader or close friends.

For example, standard survey research would probably ask what the respondent's attitude is towards physical violence against children. The social norms researcher wants to know what the respondent believes about how many others in the reference network believe that physical violence is acceptable under certain circumstances. The accuracy of the respondent's estimate is not the point. The purpose is to uncover what the respondent believes about the expectations of others in the reference network with regard to physical violence. If the respondent believes, rightly or wrongly, that many do use physical violence and that many believe one should use it, then there is indication that a social norm (i.e., social pressure) is in place.

RESOURCES

- **What are Social Norms? How are they Measured?**, United Nations Children's Fund and University of California – San Diego, Working Paper, 2012.
- **The Communication for Development site on the UNICEF intranet** contains a Research and M&E Pack that includes United Nations inter-agency guidance, guidance on KAP surveys, and guidance on indicators related to changing social norms, behaviours and practices.

⁷⁶ Methods to identify reference networks include the simple survey method, egocentric data collection, sequenced data or partial network data, and census data.

PRIMARY OUTCOME DATA COLLECTION

Deciding which indicators to use requires considering the data sources and data collection methods that are or will be available. Only when sufficient or adequate data are not available should UNICEF consider supporting the **collection of primary data** for child protection indicators.

If we decide to undertake primary data collection, the data need to be collected **at least twice** during the programme cycle: ideally once before the child protection programme starts, and once right before or after the programme ends. Only with at least two data points will we be able to compare changes towards the outcomes over time.

Table 17 below provides examples of primary data collection tools that can be particularly suitable for certain types of child protection outcomes:

TABLE 17: TYPICAL DATA COLLECTION TOOLS FOR CHILD PROTECTION OUTCOMES

Example of child protection outcome areas	Typical data collection tools for primary data collection and examples of indicators
Changes in beliefs, behaviours and practices related to child protection	<p>Stand-alone sample surveys or modules in sample surveys that measure respondents' norms and beliefs about others ('What do people typically do?', 'What do people think it is appropriate to do?')</p> <ul style="list-style-type: none">■ Percentage of parents who think that other parents believe that corporal punishment of children in school is acceptable under certain circumstances <p>Sample surveys that measure practices</p> <ul style="list-style-type: none">■ Percentage of girls and women aged 15–19 years who have undergone FGM/C <p>Media monitoring</p> <ul style="list-style-type: none">■ Number of reports per quarter in five key national newspapers that explicitly refer to child marriages
Changes in government commitment and political leadership for child protection	<p>Desk review of policies, laws and plans, possibly using checklists or scores</p> <ul style="list-style-type: none">■ Percentage of new programmes of line ministries that explicitly earmark funds for child protection■ Percentage of total funds that child protection NGOs receive from the government which are allocated on the basis of transparent competition■ Number of programmes under way in the country that aim to address existing social norms that undermine the protection of children



Changes in children's knowledge and skills	<p>Sample surveys of children using interviews or observations</p> <ul style="list-style-type: none"> Percentage of children who demonstrate an increased knowledge of life skills
Changes in services and interventions for child protection	<p>Administrative data from social services</p> <ul style="list-style-type: none"> Average wage of staff working on child protection across all ministries as a percentage of the average public sector wage (weighted to ensure comparability of grades) Coverage rate in percentage of existing child-focused cash transfer programmes <p>Assess the quality of services provided by using checklists</p> <ul style="list-style-type: none"> Percentage of child protection prevention and response service providers supported by Save the Children during a 12-month period, which meet quality standards (e.g., meeting a certain total minimum score on an extensive checklist*) <p>Satisfaction sample surveys on social services</p> <ul style="list-style-type: none"> Percentage of children who are satisfied with support services received <p>Sample surveys of social services using observation and interviews</p> <ul style="list-style-type: none"> Percentage of all social services institutions that are inspected at least once per year
Changes in capacities of those in contact with children, including people's capacity to raise and discuss the issues	<p>Sample surveys based on observation or interviews</p> <ul style="list-style-type: none"> Percentage of health units that have adopted a protocol for clinical management of girl and women survivors of violence Percentage of communities where FGM/C was discussed at least once during a community meeting in the past year
Changes in data collection, analysis and use in relation to child protection	<p>Desk review of published data</p> <ul style="list-style-type: none"> Quality of source data of the national management information system on child protection. On a scale from 0 to 3: (a) national management information system uses definitions and concepts which are appropriate for statistical purposes: 1 point; (b) the information system allows tracking performance of existing programmes and facilities: 1 point; (c) the information system allows tracking utilization of assets, expenditure and budget execution of programmes: 1 point. <p>Analysis of child protection related databases and management information systems</p> <ul style="list-style-type: none"> Percentage of indicators in national child protection management information system that are disaggregated by both sex and province

Note: *This indicator is one of three child protection global outcome indicators collected by Save the Children from 2013 onward.

The most **versatile** tool for primary data collection on child protection *outcomes* is probably a **sample survey**. A sample survey is not necessarily a major, detailed assessment; it can consist of a **single** or very **few** questions, or a single observation based on a small sample size. Sample surveys are not limited to opinion polls or KAP surveys, but can collect data about people, things and documents.

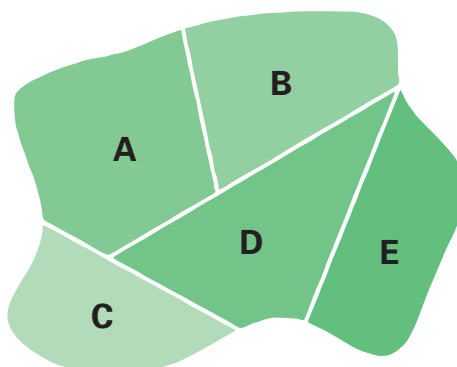
TABLE 18: SOURCES OF SURVEY DATA AND EXAMPLES FROM CHILD PROTECTION

Source of survey data	Child protection examples
People – their opinion, satisfaction, perception, knowledge, attitude, behaviour and beliefs about others' behaviour (typically surveyed through interviews)	<ul style="list-style-type: none"> How satisfied children are with the services received (satisfaction) To what degree trainees remember key knowledge six months after training has ended (knowledge) How many girls have used the local services when they have a child protection issue (behaviour) To what degree a sensitive issue can be raised and discussed (social norm)
Things (typically surveyed through observation)	<ul style="list-style-type: none"> What proportion of model police stations are at least 90 per cent equipped according to model standards (observation of physical set-up in model police stations)
Documents (typically surveyed through a desk review)	<ul style="list-style-type: none"> To what extent do media reports on children's issues follow ethical guidelines for reporting on child protection issues (e.g., screening of sample of media reports based on a checklist to rank reports as 'fully', 'partially', 'not') Whether development plans of municipalities explicitly support the prevention of recruitment of children (e.g., desk review and analysis of a sample of development plans)

FIGURE 10: How Lot Quality Assurance Sampling (LQAS) works

How does LQAS work?

Assume a programme has five sub-areas: A, B, C, D and E. Nineteen households are randomly selected from each sub-area, for a total of 95 interviews. Based on targets for a programme performance, each sub-area is either flagged 'acceptable' or 'not acceptable' and a point is determined for the entire programme area.



Source: Measure Evaluation, 'Implementation of Maternal and Child Health Outcome Surveys Using LQAS: Lessons learned from Kenya and Liberia', Measure Evaluation, Chapel Hill, North Carolina, 8 January 2013.



A survey type with small sample sizes which is potentially useful for outcome and determinant tracking is the **Lot Quality Assurance Sampling**. This is a sampling and analysis methodology for rapid population-based surveys that require a small sample size and provides information on whether subareas or 'lots' are performing at an 'acceptable' or 'not acceptable' level according to pre-determined targets. This methodology typically works with sample sizes as low as 19.⁷⁷

For example, Lot Quality Assurance Sampling was used in Uganda in 2012 to find out how many orphans and vulnerable children who are in school have their basic material needs met and receive external support.

Primary data collection – especially in the form of large-scale, stand-alone household surveys – can be resource intensive and require time. There are some ways, however, to **simplify and reduce costs** while still filling data gaps on child protection:

- **Go back to the raw data of existing data collection.** Mine them for useable data on child protection issues. *For example: The Zimbabwe Country Office conducted a detailed review of secondary data of all national and local surveys. It became clear that, among other things, children living in the poorest quintile suffered the most in terms of lack of access to social services; this information in turn informed the development of a social protection programme.*
- **Reduce accuracy and increase error rate** of sample surveys (up to +/-10 per cent). Typically, the *margin of error* (e.g., the amount of error that can be tolerated) is set at +/-5 per cent or +/-10 per cent. Limiting a survey to a smaller sample size will mean that we have to accept a higher margin of error. Similarly, the confidence level (i.e., amount of uncertainty that can be tolerated) is set at 90, 95 or 99 per cent. A smaller sample size will result in a lower *confidence level*, i.e., greater uncertainty. A smaller sample size might also make it impossible to disaggregate data to a sub-national level.

⁷⁷ Based on Measure Evaluation, 'Implementation of Maternal and Child Health Outcome Surveys Using LQAS: Lessons learned from Kenya and Liberia', Measure Evaluation, Chapel Hill, North Carolina, 8 January 2013.

⁷⁸ Rapid assessment surveys are meant to be used when there is not sufficient time or other resources for long-term, traditional quantitative research methods. While useful to provide a general snapshot of a given issue, such surveys do not fulfill high standards of scientific rigour and precision, and therefore results should be interpreted with caution.

RESOURCES

- A **comprehensive and practical guide to conduct child protection surveys** – including TORs, budget templates, informed consent form, sample work plan and sample questionnaire tool – can be found in Knowledge, Attitude and Practice Surveys in Child Protection: A step-by-step guide for child protection programmes to the design and implementation of KAP survey methods, Save the Children, 2012.
- More **general guidance** on surveys can be found in How to Conduct a Survey, UNICEF.
- A UNICEF **primer for sampling techniques** can be found in UNICEF M&E Training Modules, 5.2.1: Sampling, UNICEF.

EXAMPLES

- A **sample survey of vulnerable children, sexually exploited girls and sex workers and human trafficking victims** in urban areas of Kazakhstan based on structured in-depth interviews is described in A Rapid Assessment of Children's Vulnerabilities To Risky Behaviors, Sexual Exploitation, and Trafficking in Kazakhstan, UNICEF, 2012.⁷⁸
- 2011 Lot Quality Assurance Sampling Survey in Liberia, Measure Evaluation, 2011.
- Social Services Performance Monitoring Using Lot Quality Assurance Sampling (LQAS) Methodology: 2013 report of indicators tracked in 66 districts in Uganda, Management Services for Health, 2013.

TOOLS

- A **training package** on Lot Quality Assurance Sampling can be found at Outcome Monitoring and Evaluation Using LQAS, Measure Evaluation.
- Sample size calculator.

RESOURCES

- **NOMAD** is a groundbreaking project that links charities and aid agencies with the latest in mobile data collection solutions.
- **Magpi** (former EpiSurveyor) is an open access mobile technology tool for data collection developed and supported in Kenya and used across the world.
- **UNICEF Innovation**.

USING RAPID SMS FOR BIRTH REGISTRATION

Nigeria has implemented decentralized monitoring of birth registration using the mobile phone based platform called Rapid SMS. Rapid SMS datasets count the number of birth registration cases reported from each registration centre.

The system was designed to identify centre-by-centre disparities in birth registration in real time and facilitate prompt responses.

Combined with data from central and survey sources, Rapid SMS was found to be a tool for better understanding local level variations in service output.

UNICEF used the data collected to carry out bottleneck analyses at the local level.

For more information, see rapidsmsnigeria.org/br.

- **Add** additional questions or modules **to existing surveys**. *The Georgia Country Office, for example, noted that there was no information for a bottleneck analysis on the level of stigma towards children with disabilities. As a result, the Country Office integrated questions on social norms related to children with disabilities into a population-based survey on attitudes towards violence against children that was already planned with the government. In Uganda, the World Bank included questions on child protection in their Living Standard Measurement Studies. In Mexico, UNICEF and International Labour Organization supported a child labour module which became part of the National Survey on Occupation and Employment. By including the module in the survey, Mexico will have at its disposal up-to-date, comparable information that can be used to track and address child labour trends over time. Similarly, the 2010 DHS in Burkina Faso, Burundi and Rwanda included the MICS child labour module.*

- Explore the use of **mobile technology** instead of paper surveys for data collection. This eliminates the time spent on data entry, transferring data from paper to a database and eliminates one source of error. It also allows for faster analysis, important for instance in humanitarian situations, and can inform more timely adjustment to programmes, as needed.

- **Innovate** or **pilot** a new idea yourself. Recent examples from child protection and other areas supported by UNICEF are:

- **Registration of separated children** in emergencies through Rapid Family Tracing and Reunification (Haiti and Uganda)
- Supporting **facility-like functions** even in places without a fixed facility – e.g., using mobile phone kiosks to perform simple birth registration tasks through mobile Vital Records System (Uganda)
- Reporting about various facilities to show on a **national dashboard** through mTrac (Uganda)
- **Crowd sourcing** by asking for the participation of citizens in identifying areas of need through uReport (Uganda)



ETHICAL CONSIDERATIONS FOR PRIMARY DATA COLLECTION

There are a number of potential ethical challenges related to the collection of information on violence against children. Some key questions are:

- Whether to **ask children** or other persons directly sensitive questions about their experience of violence and abuse? If yes, at **what age** should children be interviewed on these topics?
- **How much information** should we provide to **children** and how much to provide to parents and **communities**?
- What are the risks and possible impacts of **disclosing information on survey participation**?⁷⁹

A review of available literature on ethical principles, dilemmas and risks in collecting data on violence against children suggests that there is not yet **empirical evidence** about the risks of discomfort, distress or even retraumatization of children involved in a primary data collection exercise. In the absence of such empirical evidence, the relatively high number of children reporting getting upset in the process (between one quarter and one third of participants in some studies cited in the review) suggests the need for caution and for the careful selection of methodologies to ameliorate distress. These could include a debriefing with children, telling children where and how they can get help, and using computer-assisted self-interviewing methods and a child-centred approach.⁸⁰

The principle of **parents acting in the best interests of the child** cannot be assumed in research on violence against children, and the actual consequences of disclosure on children remain unknown and difficult and/or unethical to investigate. Thus, further research is needed. This includes research on how parents weigh the risks and benefits of participation.⁸¹

To ensure **informed consent** in order to participate in a primary data collection, researchers must ensure that all potential

RESOURCES

- In April 2015, UNICEF launched the *UNICEF Procedure for Ethical Standards in Research, Evaluations and Data Collection and Analysis*. It is binding on all staff involved in research, evaluation, data collection and analysis involving human subjects or sensitive secondary data. Guidance and resources, including templates and examples of informed consent forms, can be found on the related [UNICEF Sharepoint site](#).
- *Ethical Principles, Dilemmas and Risks in Collecting Data on Violence against Children: A review of available literature*, Child Protection Monitoring and Evaluation Reference Group, 2012.
- *So You Want to Involve Children in Research? A toolkit supporting children's meaningful and ethical participation in research relating to violence against children*, Save the Children Sweden, 2004.
- *Ethical Approaches to Gathering Information from Children and Adolescents in International Settings: Guidelines and resources*, Population Council, 2005.
- *The Ethics of Social Research with Children: An overview*, *Children & Society*, vol. 10, 1996, pp. 90–105.
- *The Ethics of Social Research with Children and Families in Young Lives: Practical experiences*, Working Paper No. 53, Young Lives, 2009.
- *Ethical Guidance*, Ethical Research Involving Children.

⁷⁹ Partly based on Child Protection Monitoring and Evaluation Reference Group, 'Ethical Principles, Dilemmas and Risks in Collecting Data on Violence against Children: A review of available literature', United Nations Children's Fund, New York, October 2012.

⁸⁰ Ibid.

⁸¹ Ibid.

respondents, including children and young people fully understand what is involved in their participation. This includes encouraging questions and clarification, and allowing sufficient time for potential participants to reflect on and decide about taking part. The strategies by researchers to assess the respondents' understanding of consent can include, for example, using quizzes or asking questions one-to-one or asking them to summarize what they have been told. Participants should also be told that they can withdraw from the research at any time. Close control over interviewers is required.⁸²

Additional practical ethical challenges in primary data collection involving children are:

- Dealing with **raised expectations** by conducting primary data collection with people in very poor communities
- The **effects** of the research on children and families
- If and how to **compensate** respondents for their time⁸³

Module 2, STEP 4: Define outputs and indicators

The determinant analysis that was conducted for the interventions that UNICEF and partners will implement identified the main bottlenecks and barriers to the effectiveness of these interventions. At this stage, it is useful to revisit these main bottlenecks and barriers in order to determine which need to be addressed to achieve the stated outcomes for child protection. Outputs can then be formulated to address these bottlenecks/barriers. The indicators to measure these outputs will then be the same indicators used to monitor the reduction of the priority bottlenecks/barriers.

Outputs may have any **duration** within the length of the country programme, typically between one and five years. New outputs

⁸² Ibid.

⁸³ Morrow, Virginia, 'The Ethics of Social Research with Children and Families in Young Lives: Practical experiences', Working Paper No. 53, Young Lives, Oxford, UK, August 2009.



can be introduced and existing outputs can be **discontinued** during annual or mid-term reviews or any time after an in-depth review. Outputs are results like outcomes, and need to be formulated in a **SMART** manner (see [table 13](#)).

DEFINE OUTPUTS

Outputs are **changes in skills or abilities and capacities of individuals or institutions**, or the **availability of new products and services**. Crucially, outputs are deliverables which are largely *within the control of the organization* while outcomes are more beyond our control and also depend on external influences.

Outputs related to child protection depend on the specific context; however, they often relate to supporting the **child protection system** or its subcomponents, such as the drafting of new or revised **policies and plans** related to child protection, improved skills or capacities of **policymakers** and **service providers**, better **access to, quality and type of social services** and increased **awareness** or knowledge of stakeholders or the public.

TABLE 19: EXAMPLES OF TYPICAL OUTPUTS TO IMPROVE CHILD PROTECTION SYSTEMS

Output areas	Examples of typical child protection outputs
Drafting of laws, policies and standards	<ul style="list-style-type: none"> By 2015, the parliament has a draft law and related policies for child and women survivors of violence, abuse and exploitation⁸⁴ By 2017, the government has minimum standards, strategies and policies to prevent and protect children from abuse, violence and exploitation
Service and service delivery mechanisms (promotion, prevention and response)	<ul style="list-style-type: none"> By 2015, child protection services are expanded to five emergency districts By 2017, shelter and counselling is offered to all victims of domestic violence
Human and fiscal resources, management or capacities	<ul style="list-style-type: none"> By 2016, all caregivers and social workers in five regions have skills to protect children from violence, abuse and exploitation By 2015, child protection networks are operational at the national and district level

⁸⁴ If the law is passed, we would usually consider it an outcome (since it is an actual change in behaviour and beyond UNICEF's control).

Communication and advocacy	<ul style="list-style-type: none"> ■ By 2018, 80 per cent of parents know that FGM/C is a harmful practice⁸⁵ ■ By 2017, open discussion on sexual violence against children is promoted in 15 districts through community-based mechanisms ■ By 2016, the government has in-depth information to act against violence against women and children in the country
Collaboration and coordination	<ul style="list-style-type: none"> ■ By 2018, the government has a mandatory procedure to licence civil society organizations that directly care for children
Evidence and data for decision making	<ul style="list-style-type: none"> ■ By 2015, the government operates a functioning data base which includes all child protection services provided by the government, NGOs and the private sector

The scope of an output is influenced by the scope and character of the *outcome* it contributes to. An output can be **cross-sectoral**, can focus broadly on the **child protection system**, can refer to a **specific component or actor** of a child protection system, can focus on a limited child protection issue (like sexual violence, child labour, child marriage or birth registration) or on support to positive **social norms, practices and beliefs** related to child protection. If this is not the case, it is recommended to **review the outputs** and improve them if necessary:

- If an output is **cross-sectoral** and not specific to child protection, we should revisit the determinant analysis to ensure that we have **drilled down sufficiently** to identify specific bottlenecks and barriers.
- If an output is focused on supporting a narrow child protection **issue**, we should consider broadening it as relevant to the context. An issue-related output risks leading to an **isolated intervention**. Evidence has shown that interventions on child protection that do not follow a systems approach are ineffective and inefficient.⁸⁶

⁸⁵ Usually, such a change in knowledge and attitude is still considered an output (with the expected change in behaviour being an outcome). However, depending on the country context and how difficult changes in attitude are, it might also be considered an outcome of a country programme.

⁸⁶ United Nations Children's Fund, 'Protecting Children from Violence: A synthesis of evaluation findings', UNICEF, New York, June 2012.



TABLE 20: CHILD PROTECTION OUTPUTS AND RECOMMENDED ACTIONS

Output is ...	Examples of outputs	Recommended action
...cross-sectoral (including child protection)	<ul style="list-style-type: none"> By 2015, the government implements a Communication for Development strategy that promotes the well-being of children among individuals, families and communities By 2017, communities, families and children have the knowledge and skills to reduce their vulnerability and stigmatization 	Revisit determinant analysis to ensure that we have drilled down/looked sufficiently to identify specific bottlenecks and barriers related to the effectiveness of interventions (and thus to achieving child protection outcomes)
...focused on broad support to a child protection system	<ul style="list-style-type: none"> By 2014, the government has developed a revised national strategy for the prevention of violence against children 	None
...focused on a specific component of a child protection system	<ul style="list-style-type: none"> By 2016, local service providers in five districts respond effectively to women and child victims of abuse, violence and exploitation By 2018, child protection priorities are integrated into the national gender-based violence and HIV/AIDS response By 2016, the inter-ministerial national coordination mechanism is functional and replicated in five regions 	None
...focused on support to positive social norms, practices and beliefs for child protection	<ul style="list-style-type: none"> By 2018, local communities and their leaders are committed to abandon FGM/C 	Confirm that the output does not risk leading to an isolated intervention rather than following a systems approach to child protection; revise output if required
...focused on support to a narrow and specific child protection issue	<ul style="list-style-type: none"> By 2016, service providers have the capacity to respond to gender-based violence in schools, family and community 	Revisit output, since focusing on a narrow child protection issue may risk leading to an isolated intervention instead of following a systems approach to child protection

Note: Combinations of different types of child protection outputs are also possible.

OUTPUT INDICATORS

Each output requires a **limited set of output indicators**. For general principles on indicators, see [*STEP 3 of this module*](#).

Since *output* indicators track concrete key deliverables by UNICEF and its partners, they are typically easier to define and track than *outcome* indicators. **Secondary data** for output indicators are, in many cases, readily **available** from project or programme managers, partner organizations or administrative sources. Extensive primary data collection is often not required.

The frequency of data collection for output indicators should be at least every six months to one year. Data collection on a more regular basis (monthly, quarterly, bi-annually) should be considered depending on how often the data will be analyzed and used to inform programming, and how feasible it is to collect data more frequently. It is important that data are collected often enough to adjust interventions as needed and make necessary course corrections before programmes can veer off-track.

The **type of indicator** and related data source depend on the output. Some typical child protection output indicators and potential data sources (which also relate to the ten determinants of MoRES) are:

INDICATORS ON POLICIES AND PLANS

Typically, UNICEF supports the planning, consultations, drafting and endorsement of new or revised policies or plans related to child protection. However, the result of the implementation of policies and plans will go beyond the scope of measurement of an output indicator: these are more appropriately captured and tracked at the outcome level.

The policy and planning framework on child protection is often best captured through **qualitative indicators using a scale** (see STEP 3 for details).

- For example, UNICEF supports an enabling policy, legislative and budgetary environment for children who are at risk of or have experienced violence, abuse, exploitation or neglect. The output indicator is as follows: 'Progress towards an enabling policy, legislative and budgetary environment for prevention and response to violence, abuse, exploitation and neglect (two laws have been adjusted: 2 points; a budgeted child protection strategy exists: 1 point; government allocates at least \$5m per year to NGOs to deliver social services related to child protection: 3 points)'.



INDICATORS ON SKILLS AND CAPABILITIES

Evaluations or satisfaction surveys can be useful after conducting a training. However, they do not yet capture changes in skills or capabilities. Equally, pre- and post-training tests that capture changes in skills or knowledge can be useful to objectively track short-term changes in skills and capabilities, but fall short in capturing how sustainable these gains are. To track if **skills and capabilities are retained over time** usually requires **follow-up surveys** some time after the training has ended.

- For example, six months after training 1,500 social workers in the use of a case management software, 50 of the trainees, randomly selected, are visited again by the trainers to observe to what degree they are properly using the software. Social workers have to demonstrate that they know how to carry out 9 out of 10 key procedures using a checklist. This survey could even be conducted over the phone. The related output indicator that makes use of these data is: Percentage of trained social workers who have skills to use the case management software at least six months after training.

INDICATORS ON AWARENESS AND KNOWLEDGE

Changes in awareness and knowledge can usually directly be detected through **sample surveys** using interviews, usually in the form of a KAP survey.

- For example, a direct indicator on awareness could be the 'percentage of children who know they can report a case of child abuse to a telephone hotline' or 'percentage of children surveyed through KAP who know how to behave safely in areas contaminated by landmines/ERW.'⁸⁷

Alternatively, **proxy** indicators could be used to **indirectly** track changes in awareness or knowledge while avoiding primary data collection.

- For example, changes in the awareness of sexual violence are tracked by comparing the number of calls to hotlines over time. This assumes that the level of sexual violence remains roughly the same.

⁸⁷ Change in awareness and knowledge and related measurements are usually considered to be on the output level (with the expected change in behaviour being an outcome). However, depending on the country context and how difficult changes in awareness and knowledge are, it might also be considered an outcome of a country programme.

- Changes in awareness of members of parliament are tracked by counting the number of times child protection issues are brought to the floor or a parliamentary standing committee and compare trends over time. This also assumes that the level of sexual violence remains about the same.

INDICATORS ON SERVICES

A yes/no indicator for **new services** is often not the best option (e.g., 'Psychosocial support to victims of domestic violence in place, yes/no'. Instead, it is usually better to capture the number of clients and track them over time ('Number of identified victims of domestic violence who receive psychosocial support per month').

Better access to services can usually be best captured by changes in the **geographic coverage** of services (e.g., 'Percentage of children in districts X, Y, and Z that live within 5 km of a child-friendly police station'). Alternatively, the actual usage of services can serve as a proxy for better access ('Percentage of children in contact with police who are dealt with in child-friendly police stations').

Availability of human resources could be important to measure if this was identified as a key bottleneck – for example, ratio of social workers to child population.

Quality of services may also be important to measure. This should take into account minimum standards that exist for the service at either national or global levels. An example of how quality of services is being monitored in Zimbabwe is highlighted in [Module 3](#).



INDICATORS ON INFORMATION MANAGEMENT

Due to their qualitative nature, improvements in child protection information management are often best captured and tracked by **qualitative indicators using scales or checklists** (see [STEP 3](#) for more details).

- An example of a qualitative indicator for an Information Management System is: 'Progress towards a functioning Child Protection Information Management System (database set up: 1 point; case management data linked with social services database: 2 points; data disaggregated by sex and district: 1 point)'.
- An example of a qualitative indicator for surveillance systems is: 'Progress towards establishment of an Injury Surveillance System (agreement on case definitions: 1 point; identification, assessment and determination of data sources: 1 point; adoption of data collection instruments and procedures: 2 points; database set up: 1 point; data disaggregated by sex, age, location and type of injury: 2 points).'

TOOLS

- **Guidance on indicators for determinants** related to child protection can be found on the [MoRES Sharepoint site](#).
- For **technical details on indicators**, including the use of proxy indicators, see [STEP 3](#) in this module.

Module 2, STEP 5: Finalize the programme design

LOGICAL FRAMEWORK WITH INDICATORS

In steps 1 to 4, we have identified a desired impact, one or more outcomes relevant to the impact and one or more outputs relevant to the achievement of the outcomes based on the determinant analysis, along with the careful use of indicators to track all of these. Now it is time to put it all together and **finalize the programme design**.

This should be done by pulling all information together into a **logical framework**. The **template** suggested by UNICEF and the United Nations contains the following elements:

Result	Indicator	Baseline	Target	Means of verification	Risks and assumptions
IMPACT					
OUTCOME 1					
OUTPUT 1.1.					
Activities					
OUTPUT 1.2.					
Activities					

We can test the soundness of the **vertical logic** of a child protection programme by asking:

- Are the planned **activities** sufficient to deliver the **outputs**?⁸⁸
- Are the planned **outputs** largely sufficient to achieve the **outcome**?
- Are the planned **outcomes** significantly contributing to the desired **impact**?

RESOURCES

- UNICEF Programme, Policy and Procedure E-manual, Section 3.5.5: Using a Logical Approach to Finalize the Programme Design, UNICEF, June 2014.
- VISION guidance.
- UNICEF Programme, Policy and Procedure E-manual, Section 4.3: Enterprise Resource Planning System (VISION-ONE ERP), UNICEF, June 2014.

The **horizontal logic** of the programme ensures that a solid base for performance monitoring exists. If no complete, reliable and meaningful set of indicators can be identified, the results should be reformulated. Without a baseline, a target *and* means of verification, proper monitoring will not be possible.

The complete logical framework needs to be **reviewed and agreed upon by all partners**. Usually not longer than one or two pages, it provides a good overview of what the future child protection programme will do, what it will try to achieve and how this will be measured.

After the logical framework has been agreed upon, we enter the information into VISION.

⁸⁸ Activities are currently called 'course of action' in the PPPeM.



DESIGN AN EVALUATION PLAN

Evaluating a programme has become almost a mandatory step. That is why evaluations must be planned, designed and budgeted in as much detail as possible right from the planning stage of a child protection programme. This should lead to a **comprehensive evaluation plan** which includes all activities related to evaluating a child protection programme during (and possibly after) its duration. *While this chapter deals with designing an evaluation plan, the process of developing a detailed plan for implementing and using an individual evaluation is described in [Module 4](#).*

Together with our partners and stakeholders in a child protection programme, we should anticipate the most important **strategic management questions** in the coming programme cycle and plan the evaluations required to answer these questions accordingly. This includes decisions on whether evaluations should be done in the broader context of UNDAF, **jointly with other United Nations agencies** or partner organizations or be commissioned by **UNICEF and its partners**.

To design an evaluation plan at the planning stage of a child protection programme, it helps to consider the following **questions**:

- Do we **need** to evaluate the child protection programme?
- If yes, what is the **purpose** of evaluating it?
- **When** should evaluations be conducted?
- What **types** of evaluations do we require?
- What **designs** will the evaluations use?
- How much will the evaluations **cost**?

GENERAL RESOURCES ON PLANNING EVALUATIONS

- *[Revised evaluation policy of UNICEF](#)*, UNICEF intranet, 2013.
- *[UNICEF Programme, Policy and Procedure E-manual, Section 5.4: Evaluation](#)*, UNICEF, June 2014.
- *[UNICEF Programme, Policy and Procedure E-manual, Section 5.5: Evaluation in Humanitarian Situations](#)*, UNICEF, June 2014.
- *[How to Plan an Evaluation, Evaluation Step-By-Step](#)*, UNICEF intranet.

GENERAL RESOURCES ON PLANNING EVALUATIONS

- *[Guidance on Prioritization of Major Evaluations at the Decentralized Level](#)*, UNICEF, 2010.
- *[How to Design and Manage Equity-Focused Evaluations](#)*, UNICEF, 2011.
- *[Toolkit on Evaluation](#)*, UNICEF Egypt, 2008.
- *[Glossary of Key Terms in Evaluation and Results Based Management](#)*, OECD, 2004.

DO WE NEED TO EVALUATE THE CHILD PROTECTION PROGRAMME?

To decide *if* an evaluation of a child protection programme should be planned at all, it helps to ask the following preliminary questions:

- Will an evaluation of the child protection programme or parts of it be useful in telling us what we need to know? (See UNICEF's guidelines for conducting evaluation in the box below). Will our monitoring system tell us everything we want to know, or not?
- What evaluations and reviews are planned by the **government** and **partners**? Can UNICEF use, add to or join an already planned evaluation?
- Are there any **donor or partner requirements** which require evaluations? Can these commitments be renegotiated if the timing or type of evaluation does not make sense?

UNICEF country offices have limited resources so we need to carefully assess which programmes, themes and policies we plan to evaluate. To decide if a child protection evaluation should be **prioritized**, UNICEF country offices should consider questions about feasibility, risks and so on.

Questions to ask if a child protection evaluation should be prioritized and planned

How **feasible** is the evaluation?

How **ready** is the programme to be evaluated?

What are the **risks** of *not* undertaking the evaluation?

Does the evaluation provide new and vital information to close a **major information gap**?

Do stakeholders have the **capacity** to **respond** to evaluation findings at this point in time?

Source: Based on 'Guidance on Prioritization of Major Evaluations at the Decentralized Level', United Nations Children's Fund, 2010.



IF YES, WHAT IS THE PURPOSE OF EVALUATING THE PROGRAMME?

Planning evaluations requires us to **clarify a purpose**. The purpose will determine the timing (before, during or after the evaluation), the focus (e.g., programme component, country programme, thematic) and the type of evaluation.

QUESTIONS TO answer at planning stage of an evaluation

What is the evaluation **for**?

How and by whom will the findings be **used**?

What role do **beneficiaries** have in this evaluation?

Who else needs to be **involved**?

What are the main evaluation **questions**?

Who is going to do the **work** for the evaluation?

What is the **timescale**?

What **ethical** issues do we need to consider?

What sort of **end product** do we want?

Source: Based on McNeish, Diana, and Anna Downie, 'Evaluation Toolkit: A practical guide to project evaluation', Barnardo's, London, 2002.

EVALUATIONS IN UNICEF

For UNICEF, an evaluation is an exercise that attempts to **determine** as systematically and objectively as possible the **worth or significance of UNICEF specific intervention, strategy or policy**.

Evaluations are conducted for **accountability**, organizational **learning, policy advocacy** and to contribute to **knowledge management**.

UNICEF's evaluation policy mandates an evaluation if a programme has been implemented for at least five years without being evaluated, and/or the expenditure for a programme outcome has reached \$10 million.

WHEN SHOULD EVALUATIONS BE CONDUCTED?

As a corporate policy, UNICEF requires every major planned result of a country programme (related to outcome or impact) to be evaluated at least once during the programme cycle. Typically, programme evaluations on child protection are conducted as follows:

- **Major programme evaluations** precede a UNICEF **mid-term review**, a **UNDAF evaluation** or the development of the new UNDAF and UNICEF **country programme**.
- **Ad hoc evaluations** are conducted to answer key programmatic questions that the monitoring system is not able to answer.

- Evaluations are conducted to make use of, interpret and deepen the understanding of a certain issue **following primary data collection**, e.g., in the form of a new survey.

- **Evaluations of pilot initiatives** are usually conducted in year one or two of the programme cycle.

WHAT TYPES OF EVALUATIONS DO WE REQUIRE?

TABLE 21: COMMON PROGRAMMATIC EVALUATION TYPES AND THEIR VALUE ADDED FOR CHILD PROTECTION

Evaluation type	Level of results	Timing	Purpose	Value added for child protection programming
Evaluability assessment	All levels	Typically <i>prior</i> to an evaluation	Assesses whether it will be possible to evaluate a child protection programme	<ul style="list-style-type: none"> ■ Given the usually complex character of child protection programmes, an evaluability assessment can be very useful to ensure that an evaluation <i>can</i> be conducted and prepare for the evaluation ■ Can be undertaken at all stages of the programme, but is usually conducted at the planning stage or before a major evaluation ■ Currently highly underused in the United Nations
Output evaluation (e.g., process evaluation)	Inputs, activities, timely delivery of quality outputs (<i>efficiency</i>)	Typically <i>during</i> the implementation of a programme	Assesses project or programme <i>implementation</i> and <i>policy delivery</i>	<ul style="list-style-type: none"> ■ Limiting an evaluation to the output level is in many cases not meaningful ■ Typically only useful for major child protection programmes that face difficulties in delivering on time or with good quality to improve project management ■ It is better to plan for an outcome evaluation (see below) which includes an assessment of efficiency as well
Outcome evaluation	Progress towards or achievement of planned outcomes (<i>effectiveness</i>)	Typically <i>at the later stage or after</i> the implementation of a programme	Focus on short- and medium-term outcomes like changes in the effectiveness, efficiency and coverage of child protection systems and initial changes in social norms, practices and beliefs	<ul style="list-style-type: none"> ■ Most promising type of evaluation for a child protection mid-term and terminal (e.g., end of programme) evaluation ■ It goes beyond a mere evaluation of efficiency and can hope to already evaluate changes to how the system protects children and how social norms, practices and beliefs change
Impact evaluations	Progress towards or achievement of planned impact	Typically <i>after</i> the implementation of a programme	Evaluates long-term impact of how child protection programmes have changed people's lives	<ul style="list-style-type: none"> ■ Usually best suited to be conducted 3–15 years (or longer) after major child protection programmes have ended

Source: Adapted from United Kingdom Department for International Development, 'Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls', DFID How to note, DFID, London, 2012.



The evaluation type depends on the **nature of the management questions** that need to be answered by the evaluation. Table 21 lists **common evaluation types** for child protection programme evaluations and how they can **best be put to use**.

WHAT DESIGNS WILL THE EVALUATIONS USE?

Although the details of the evaluation design will be decided later, we need to make some basic decisions at the planning stage to **properly budget** for and **time** the evaluation. Table 22 lists the most common evaluation designs for child protection programmes, their characteristics, strengths and weaknesses and suitability for child protection evaluations:

TABLE 22: DESIGN OPTIONS FOR CHILD PROTECTION EVALUATIONS

Evaluation design		Characteristics	Strengths/weakness	Suitability for child protection evaluations
Non-experimental	One-off (without baseline)	<ul style="list-style-type: none"> ■ No comparison group is used* ■ Single one-off evaluation without a baseline, usually as mid-term or terminal evaluation 	<ul style="list-style-type: none"> ■ Simple evaluation design ■ Without a formal comparison group, results may be wrongly attributed to a child protection programme ■ Least accurate design, since it cannot tell us in quantitative terms the degree of change and what caused it 	<ul style="list-style-type: none"> ■ Can tell us how stakeholders <i>perceive</i> a programme and how they <i>feel</i> it has changed lives ■ Not suitable for outcome or impact evaluations on child protection ■ Mostly appropriate for limited output/process evaluations
	With baseline	<ul style="list-style-type: none"> ■ No comparison or control group is used ■ Progress is compared to a baseline at the beginning of an intervention 	<ul style="list-style-type: none"> ■ Can tell us about the degree of change, but not why a change has occurred ■ Does not account for the influence of external factors ■ Does not tell us about trends and progress <i>during</i> the two snapshots 	<ul style="list-style-type: none"> ■ Valuable for collecting qualitative data ■ Can be sufficiently credible if strongly using mixed methods and triangulation
	With longitudinal design	<ul style="list-style-type: none"> ■ No comparison or control group is used ■ Multiple approach including baseline, mid-term, terminal and/or follow-up evaluations 	<ul style="list-style-type: none"> ■ Strong evaluation design with broad coverage (outputs, outcomes, impact) ■ Costly and resource intensive due to multiple evaluations 	<ul style="list-style-type: none"> ■ Suitable for testing pilot intervention for scaling up

Quasi-experimental	<ul style="list-style-type: none"> ■ Uses a comparison group that does not benefit from a child protection intervention or from a different intervention ■ Comparison group is not randomly selected, but based on criteria that provide a close match to the intervention group** 	<ul style="list-style-type: none"> ■ Baseline and end-of-programme data together with comparison group provide reasonably good estimates of the scale of change caused by a programme ■ It may be difficult or impossible to find identical intervention and comparison sites ■ The use of comparison groups can raise deeply problematic moral and human rights questions 	<ul style="list-style-type: none"> ■ Flexible and can be suitable for a range of child protection programmes ■ Strong quantitative evidence can be produced by comparing baseline and endline data from the two sites ■ There can be profound ethical questions around the use of comparison groups
Experimental (<i>'randomized design'</i>)	<ul style="list-style-type: none"> ■ Uses a randomly selected comparison group that does not benefit from a child protection programme 	<ul style="list-style-type: none"> ■ Can provide reliable and credible evidence ■ Allows to statistically control for sample selection ■ Random assignments may be ethically or practically impossible ■ Costly and resource intensive due to complex evaluation design ■ Use of comparison groups can raise deeply problematic moral and human rights questions 	<ul style="list-style-type: none"> ■ Comparability of randomly selected control group with intervention group in a complex programming context can be questionable from a technical and ethical perspective ■ May be better suited to other sectors and clinical trials ■ There can be profound ethical questions around the use of comparison groups

Note: *A comparison group (also called 'control group') that received no intervention is a group of people that in every way – except their not receiving an intervention – is as similar as possible to those receiving the intervention. This usually means finding people who are in a similar age range, have a similar gender balance and cultural or religious backgrounds, and have had similar experiences related to a crisis as those receiving the intervention.

** For example, phasing a programme in different geographic areas, using matched pairs, identifying groups with similar characteristics.

Source: Adapted from United Kingdom Department for International Development, '[Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls](#)', DFID How to note, DFID, London, 2012; and O'Neill, Kathryn, '[Evaluation Handbook](#)', Save the Children, London 2012.

Generally, evaluation designs with a **comparison** group are stronger than non-experimental designs. However, using comparison groups can also raise deeply problematic **moral and human rights questions**. For example, it might be ethically questionable to implement a programme in one place and not in another in order to ensure the existence of a control group.



To balance ethical concerns with the potential advantages of a comparison group, we can consider **three strategies**.⁸⁹

- **Roll out child protection programmes over time:** Interventions are rarely rolled out simultaneously in multiple areas. Careful planning will often provide access to an effective comparison group. For example, we may be able to set up comparison groups between children currently enrolled in a programme with those waiting to be enrolled. We can compare children in one refugee camp where a programme has started with children in a second camp where the programme has still to be rolled out.
- **Compare two different interventions with each other:** If it is not clear which approach to a particular child protection issue is more effective, then comparing the beneficiaries of two or more different interventions is an effective way of learning what works best.
- **Use information about existing patterns or 'norms' for beneficiaries:** If reliable administrative data are available, this can be compared with data from an area of intervention. For example, if the number of children in pre-trial detention nationwide is known, we can compare it with the data from a district where UNICEF is supporting a specific intervention. Another example is an evaluation of a child soldier reintegration programme that was conducted in Mozambique that compared the social and economic situation of former child soldiers with children who were not child soldiers.

HOW MUCH WILL THE EVALUATIONS COST?

To ensure that evaluations will be conducted when and as planned, they need to be **budgeted at the planning stage**. This includes all surveys or data collection activity related to the evaluation. The total costs of an evaluation depend on the complexity of the programme, the evaluation type, design and external expertise required. Primary data collection activities that are part of an evaluation can be especially costly and resource intensive.

89 Based on Ager, Alastair, et al., 'Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises', United Nations Children's Fund, New York, 2011, pp. 64–68.

RESOURCES

Budgeting for evaluations

- **How to budget an evaluation**, in *How to Budget an Evaluation, Evaluation Step-By-Step*, UNICEF.

Planning child protection evaluations

- An excellent yet easy to read guide on planning evaluations of psychosocial programmes in humanitarian contexts is the *Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises*, UNICEF, 2011. The guide can also be applied to many other areas of child protection evaluations.
- A short yet comprehensive guide to planning evaluations of violence against women and girls can be found in *Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls*, DFID How to note, 2012. ►

- Useful guidance for child protection related evaluations can also be found in the equally accessible ***Evaluation Handbook***, Save the Children, London 2012.
- Guidance on how to conduct outcome-level evaluations on parenting is included in ***Preventing Violence: Evaluating outcomes of parenting programmes***, World Health Organization, United Nations Children's Fund and University of Cape Town, 2013.

Globally, UNICEF sets a minimum target of 1 per cent allocation of its overall programme expenditure on evaluation.⁹⁰ A common practice among United Nations agencies and development organizations is to invest **up to 3 per cent of programme expenditure** for evaluation. This does not include monitoring, studies, surveys and research which should be financed separately from evaluation. In the case of programmes related to violence against children, expenditure for M&E may be significantly **more than 3 per cent** if it is for complex long-term social change programmes, or a full-fledged and methodologically robust impact evaluation. UN Women, for example, estimates that **at least 10 per cent** of programme funding is required for a full-fledged and methodologically robust impact evaluation of any of its violence against women and girls programmes.⁹¹

ETHICAL CONSIDERATIONS FOR RESEARCH

- Research should be informed by **clear ethical considerations of confidentiality, informed consent and child protection principles**.
- Research should try to gather as much information as possible about local understandings of the **best interest of the child** and how this can be incorporated into the programme.

Source: United Nations Children's Fund, 'Protecting Children from Violence: A synthesis of evaluation findings', UNICEF, New York, June 2012, p. 247.

BRING COMPONENTS TOGETHER IN AN M&E PLAN

After defining the different components of an M&E system for child protection (impact, outcome, and output indicators and data sources), we need to bring them together into a single **M&E plan**. An M&E plan is essentially a **calendar of the major M&E data collection activities**.

An M&E plan provides an opportunity to ensure that M&E activities are **strategically** planned and well **coordinated**. For example, it could show that newly available data from a MICS survey is subsequently used for an evaluation, or that a major quantitative survey on violence against children is complemented by qualitative academic research jointly with a university.

The child protection-specific M&E plan should follow the approach and formats used for the **UNICEF Integrated M&E Plan (IMEP)** and the **UNDAF M&E plan**.

⁹⁰ United Nations Children's Fund, 'Revised Evaluation Policy of UNICEF', UNICEF, New York, April 2013, p. 16.

⁹¹ United Kingdom Department for International Development, 'Guidance on Monitoring and Evaluation for Programming on Violence against Women and Girls', DFID How to note, DFID, London, 2012, pp. 9–10.



TABLE 23 FORMAT OF A MULTI-YEAR INTEGRATED MONITORING AND EVALUATION PLAN (IMEP)

	Year 1	Year 2	Year 3	Year 4	Year 5
Major events/processes using research, M&E data					
Surveys, studies (including SITAN-related)					
Evaluations					
Monitoring system					
Partners' major data collection activities					
M&E capacity development (UNICEF and partners)					
Publications (optional)					

The **IMEP** includes planned (a) surveys and studies (including quantitative and qualitative), (b) evaluations, (c) activities related to strengthening monitoring systems, (d) major data collection activities by partners, (e) development of M&E capacities of UNICEF staff and partners and (f) publications. This requires close collaboration between the child protection specialist and the country office M&E specialist or focal point.

The IMEP in turn is part of the overall **UNDAF M&E calendar**. The calendar provides a schedule of all major M&E activities that the UN country team undertakes in each year of the UNDAF cycle. It describes agency and partner accountabilities, the uses and users of information, the UNDAF evaluation milestones, and complementary partner activities.

Since the need for additional monitoring or evaluations might arise *during* the implementation of a child protection programme, the IMEP should be **updated regularly** to reflect these changes. For example, if broad advocacy work on domestic violence fails to increase reports of incidences to the police, we might benefit from additional qualitative research to better understand why this happens.

RESOURCES

- **IMEP templates and details** can be found in *UNICEF Programme, Policy and Procedure E-manual, Section 3.9.1: Developing a CPAP/UNDAF Action Plan*, UNICEF, June 2014.
- **UNDAF M&E calendar** in *How to Prepare an UNDAF: Part II - Technical Guidance for UN Country Teams*, undg, 2010.
- *Guide to Contracting Consultants and Individual Contractors*, UNICEF, Division of Human Resources, 2013.

Once an M&E plan has been agreed upon, the **capacities, budget** and **responsibilities** to carry out the data collection and analysis need to be defined. To do that, we can use the generic five-step process as defined in UNICEF's PPPeM.

Responsibilities to carry out different elements of the M&E plan need to be carefully planned as well. Continuous monitoring and the planning and management of evaluations for child protection are typically carried out by the **child protection specialist**. Apart from planning and administrative work, monitoring is one of the core functions of most programme and project staff. Where they exist, the child protection staff can rely on the technical support of **country office** or **regional M&E advisors**. For primary data collection, qualitative research and evaluations, however, **external expertise** and/or **support** are usually required.

INSTITUTIONAL SETTING

The **Global Protection Cluster** supports protection responses in humanitarian action, and takes the lead in setting standards and policies for protection in complex and natural disaster humanitarian emergencies. At the country level, the **Child Protection Sub-cluster** under the Protection Cluster is led by UNICEF.

The work of the Global Protection Cluster is facilitated by the **Child Protection Working Group**, a global forum for the coordination of NGOs, United Nations agencies and academics on child protection in humanitarian settings.

It is also important to ensure active engagement of government and partners in data collection and analysis. Analysis of the data should also ideally be linked to key milestones in government planning processes at sub-national and national levels to ensure adequate use of the data to inform national and sub-national plans.

Module 2: Special considerations in a humanitarian context

The principles and approaches described in steps 1 to 6 also apply in a humanitarian context. However, there are **additional tools for designing a child protection programme for a humanitarian context**.

UNICEF's Child Protection in Emergency programming focuses on **prevention and response** to all affected populations of children and women and providing services as appropriate. For each key area of support (separated children, children affected by armed conflict, gender-based violence; psychosocial care and support, mine action), **programming guidelines** have been developed in conjunction with members of the Child Protection Working Group



(CPWG). Most of the guidelines include actions to be taken for preparedness as well as response.

PLANNING IN A HUMANITARIAN CONTEXT

Despite the typically short time and need for quick responses, child protection in a humanitarian context also benefits from a **theory of change**. Ideally, the theory of change is developed prior to the onset of a humanitarian crisis and adapted or developed during the early planning phase in a humanitarian context.

In general, the recently developed **Minimum Standards for Child Protection in Humanitarian Action** serve as the basis for planning how to protect children during a humanitarian crisis.

A definition of **what UNICEF does** to protect children (prepare for, respond to and recover) in a humanitarian crisis is captured in the **Core Commitments for Children in Humanitarian Action (CCCs)**, chapter 2.6.

Planning for the protection of children in a humanitarian context should be based on **what has been learned** about what works and does not work in both emergency and non-emergency contexts.

Detailed guidance, tools and templates for **planning a response** – including child protection – to a humanitarian crisis can be found in UNICEF’s Humanitarian Performance Monitoring toolkit.

PLANNING FOR MONITORING

Humanitarian Performance Monitoring has **two dimensions, related to preparedness and response**:

- Monitoring the **readiness** to address emergency risks: this is done through the **Early Warning Early Action system**.
- Implementing the CCCs in an **actual emergency response and early recovery**

RESOURCE

- **Child Protection Working Group**, Global Protection Cluster.

TOOLS

- **Minimum Standards for Child Protection in Humanitarian Action**, Child Protection Working Group, Geneva, 2012.
- **Core Commitments for Children in Humanitarian Action**, UNICEF, 2010.

RESOURCES

- **Synthesis of Lessons Learned on Child Protection in Emergencies**, ‘*Planning and strategy*’ section, UNICEF, August 2010.
- **Evaluation of UNICEF Programmes to Protect Children in Emergencies: Synthesis report**, 2013.

TOOLS

- **Response Plan Guidance and Template**, UNICEF, July 2012.
- **Humanitarian Performance Monitoring Toolkit**, UNICEF, July 2012.
- **Core Commitments for Children Indicator Guide**, Humanitarian Performance Monitoring Toolkit, UNICEF, July 2012.
- **Gender-Sensitive Monitoring and Evaluation**, UNICEF, July 2012.
- **Inter-Agency Child Protection Information Management System**.
- **Gender-Based Violence Information Management System**.

ADDITIONAL GUIDANCE AND TOOLS

- **Inter-agency Guide to the Evaluation of Psychosocial Programmes in Emergencies**, UNICEF, 2011.
- **IMAS Mine Risk Education Best Practice Guidebook 8: Evaluation**, UN IMAS, 2005. This guidebook from International Mine Action Standards is part of a series of 12 best practice guidebooks that provide practical advice for implementing the mine risk education component of the International Mine Action Standards. Guidebook 8 focuses on evaluating MRE projects and programmes. It explains why evaluations are necessary and how they will help field workers or project managers improve what they do and how they do it.
- **Rapid Family Tracing and Reunification (RapidFTR)** helps humanitarian workers in emergencies quickly collect vital information from children who have been separated from their caregivers. It should become the *standard tool* used by all child protection and humanitarian organizations.

Naturally, the **situation and data prior** to the onset of a humanitarian situation provide a baseline for monitoring.

Monitoring in an emergency response and recovery setting usually requires more frequent and cross-sectoral monitoring. For these cases, UNICEF has put together a detailed **Humanitarian Performance Monitoring Toolkit**.

The toolkit contains a description of **14 child protection indicators** developed from the CCCs. Nine out of 14 can be used for **higher frequency monitoring**. Higher frequency Humanitarian Performance Monitoring, aligned to the CCCs will continue to be reported outside of the Results Assessment Module (RAM) through the Situation Report (SitRep) and inter-agency reporting mechanisms. The relevant information should also be included in the progress reporting in the RAM for the respective Outcome and Output result statements.

There are two **Information Management Systems** in a humanitarian context that are relevant for child protection to draw on for indicator selection and identifying data sources: The **Inter-Agency Child Protection Information Management System** is the standard information management system for the child protection sector in emergencies. In addition, the **Gender-Based Violence Information Management System** (GBVIMS) is a tried and tested approach for the collection, management and sharing of data related to gender-based violence generated through service delivery. Both Information Management Systems are supported by UNICEF. Increasingly, UNICEF is also supporting the establishment of weapons-related and more general injury surveillance systems, in both armed conflict and armed violence contexts. These can provide important data on types and causes of injuries, and groups most vulnerable to them, on an ongoing basis.



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Module 3: How to Monitor the Results of a Child Protection Programme

WHEN to use this module:

- *During the **implementation** of a child protection programme or a programme with a child protection component*

WHO should use this module:

- Primarily **child protection staff** in country offices; monitoring is a core responsibility of child protection staff
- **M&E specialists** in country offices and at the regional level in their capacity to technically support child protection staff in monitoring

OVERVIEW

STEP 1: Make the monitoring system work

STEP 2: Collect data

STEP 3: Interpret the data

STEP 4: Report on progress

STEP 5: Use monitoring information

SPECIAL CONSIDERATIONS IN A HUMANITARIAN CONTEXT

MONITORING STRATEGIC PLAN INDICATORS

Country Offices have typically selected between 10 and 15 output indicators that best capture the expected results of its programmes. This was performed through a process of 'self-identification' and a baseline survey in 2017. Country Offices have also defined a baseline and set a target for 2021 for each selected output indicator. Ideally, this **country-specific sub-set of Strategic Plan indicators** becomes part of national or regional monitoring frameworks, e.g. Country Programme Documents.

From 2018 onward, Country Offices monitor and update selected Strategic Plan indicators using the Strategic Monitoring Questions (SMQs) and Results Assessment Module (RAM) platform (see p. 166). Where required, Country Offices need to **improve monitoring systems** and invest in national and sub-national **capacity building on data collection, data structure, data ecosystem** to ensure that data for all selected Strategic Plan indicators – including at the required level of disaggregation – are credible and regularly collected (*Module 3, STEP 1*).

CHILD PROTECTION INDICATOR MANUAL

The **Indicator Manual for Strategic Plan 2018–2021 Goal Area 3** was developed by the Child Protection Section at Headquarters in close consultation with the field and aims to clarify definitions and methods of calculation for each Strategic Plan Goal Area 3 indicators in to help Country Offices collect, monitor and report on these indicators. The Manual complements the Strategic Plan by **operationalizing the data collection** for Strategic Plan indicators for child protection.

The **purpose** of this Manual is to:

- provide clear **guidance** for Country and Regional Offices *how to collect and report on* data on Child Protection Strategic Plan indicators
- enhance **credibility and transparency** of Child Protection core indicators by documenting the methodology used to calculate indicator data.

Indicator Manual for 2018-2021 Strategic Plan Goal Area 3, UNICEF (will be available on the [NYHQ Child Protection SharePoint](#) in July 2018).



FILLING DATA GAPS (STEP 2)

In the Strategic Plan, UNICEF committed itself to track and report on indicator data **disaggregated by sex, age, geography, disability** and **humanitarian** situations. This is the minimum standard of disaggregation in UNICEF; other or more detailed disaggregation can be carried out at all levels of UNICEF. Tracking Strategic Plan indicators at the necessary level of disaggregation requires Country Offices to **fill gaps on disaggregated data** for the indicators they have selected. Filling data gaps – particularly by age brackets and disability – may require significant investments at the national and local level.

DISAGGREGATION BY AGE

UNICEF has committed to track and report on data disaggregated by age for 10 Strategic Plan indicators. In preparation for monitoring the Strategic Plan, UNICEF's Child Protection Section has agreed on **age brackets tailored to the indicators** in consultation with its Early Childhood Development Unit and Adolescent Development and Participation Unit in the Programme Division. **Country Offices will need to ensure that their monitoring systems capture – as a minimum – these age brackets.**

Figure 3A. Age brackets for Strategic Plan indicators

Strategic Plan (SP) Child Protection indicator	Required age brackets
Simple disaggregation	
3.b.2.	<ul style="list-style-type: none">■ under 10 years■ 10-18 years
Early Childhood Development and adolescence disaggregation	
3.a.5.a, 3.a.5.b, 3.a.5.c, 3.a.5.d, 3.a.7.	<ul style="list-style-type: none">■ under 5 years■ 5-9 years■ 10-14 years■ 15-19 years
Adolescence disaggregation	
3.3.b., 3.a.6., 3.5., 3.b.1	<ul style="list-style-type: none">■ Under 10 years■ 10-14 years■ 15-19 years

RESOURCES

- ***Child disability***, UNICEF, data. [unicef.org/topic/child-disability/overview/](https://data.unicef.org/topic/child-disability/overview/)
- ***Module on child functioning***, UNICEF, data. [unicef.org/topic/child-disability/module-on-child-functioning/](https://data.unicef.org/topic/child-disability/module-on-child-functioning/)

DISAGGREGATION BY DISABILITY

The Strategic Plan 2018-2021 contains the ambitious goal to track and report on **12 child protection indicators** by disability. To this end, UNICEF Child Protection uses the Washington Group/UNICEF **Module on Child Functioning**.

The Module, finalized in 2016, assesses functional difficulties in **hearing, vision, communication/comprehension, learning, mobility and emotions**. It consists of a set of questions for ages 2-4 and 5-17, and has been translated into nine languages with UNICEF's support. Since this is a new approach, it likely requires significant **investments** by Country Offices in building capacities of implementing partners on the use of this tool and institutionalizing it in governments to enable disaggregation of administrative data and survey data by disability.



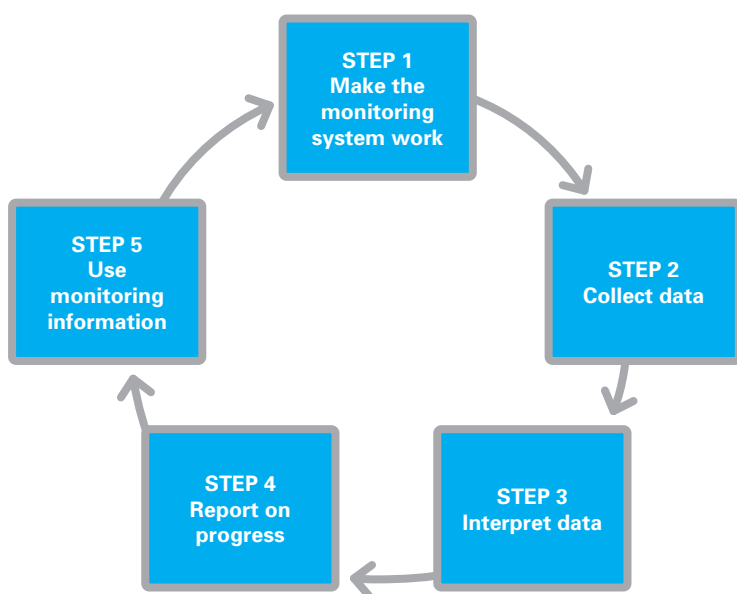
03

Module 3: OVERVIEW

If a solid, clear and detailed M&E system with meaningful indicators has been set up prior to implementing a child protection programme (see [Module 2](#)), monitoring will mostly consist of implementing and updating the **Integrated Monitoring and Evaluation Plan (IMEP)**. This entails translating planned M&E activities into annual child protection **unit work plans**, individual child protection **staff work plans** and **UNICEF country office work plans**.

Monitoring the results of a child protection programme is done **together with UNICEF's partners** and is a **continuous process**. It is a **core responsibility** of UNICEF child protection staff, with the technical support of country office or regional M&E specialists if required.

Monitoring is typically a **reiterative process with five steps**:



RESOURCES

- UNICEF Programme Policy and Procedure e-Manual, Section 5.3: Monitoring, UNICEF, 2012.
- UNICEF's approach to M&E related to **child protection** can be found on the M&E section of the [child protection intranet site](#).

Together with partners, UNICEF child protection staff monitor changes and progress on child protection according to **levels** of the result chain:⁹²

- **Impact** (i.e., changes in the scale and extent of violence, abuse, exploitation and neglect related to children that the child protection programme contributes to)
- **Outcomes** (i.e., what UNICEF and its partners achieve in improving child protection systems and favourable social norms that occur largely due to the child protection programme)
- **Outputs and activities** (i.e., what UNICEF and its partners *do* as part of a child protection programme)
- **Inputs** (i.e., the funds and human and material resources used for implementing a child protection programme)

As noted earlier, indicators to monitor reduction of bottlenecks/barriers often relate to outputs and can be considered output indicators; however, this depends on the country context and at what level the outcomes and outputs are pitched.

Module 3, STEP 1: Make the monitoring system work

Some key elements for a monitoring system will usually already have been **defined at the planning stage** (see [Module 2](#) for details). If they have not, this needs to be done urgently at the very beginning of programme implementation. These elements include:

- A **logical framework** with a clear *chain of results* which includes a desired impact, outcomes, outputs and a budget, and sets of *indicators* to track progress towards achieving these results
- An **M&E plan** for child protection as part of the overall UNICEF IMEP, which in turn is part of the UNDAF M&E plan

⁹² UNICEF also distinguishes between performance and situational monitoring: Performance monitoring is UNICEF's core accountability mechanism for effective work planning and review, while situational monitoring tracks the scale and extent of violence, abuse, exploitation and neglect related to children.



- Agreement on the required **capacities** for monitoring and evaluating a child protection programme as well as an estimated **budget** for M&E, based on the M&E plan

At the beginning and throughout the programme implementation, we need to ensure that the monitoring system works. This means that the **people** responsible for M&E have the **right skills** and **adequate tools, time and funds available** and that the **M&E processes are coordinated and support** each other. In short, a working M&E system – as any system – requires **people and skills, tools and processes**.

PEOPLE AND SKILLS

Monitoring is – apart from planning and administration – typically a **core responsibility of child protection staff** in a country office. The **M&E specialists** in country offices or at the regional level can provide technical support to child protection staff. Where monitoring is conducted by **implementing partners**, the UNICEF child protection officer usually provides support and oversight of their monitoring systems and processes.

Capacity building of partners on monitoring of their child protection programmes is part of UNICEF's core capacity-building role.

STATISTICAL SKILLS

Interpreting *quantitative* data requires **statistical skills**. Otherwise, the data analysis can lead to incorrect conclusions. In the example below (figure 11), a superficial (and incorrect) interpretation of trend data, based solely on the width of the bars in the chart, may lead one to the conclusion that female support for FGM/C has declined across all ethnic groups in Burkina Faso. However, a proper analysis would take into consideration the confidence intervals. Confidence intervals are a measure of the reliability of an estimate. They help determine the uncertainty associated with the findings based on the sample that was used to gather the data.

For example, how do we know that we would be able to draw the same conclusions if we conducted the survey again, using a different sample? How certain can we be that the prevalence of FGM/C in Gambia has declined over time when data from two surveys are compared?

It is thus important to know what the confidence intervals are. In applied practice, confidence intervals are typically stated at the 95 per cent confidence level (though they can be calculated at any percentage). This means that we are 95 per cent confident that the true value of the parameter is in our confidence interval and thus we are 95 per cent certain that, if we do the study or survey multiple times using different independent samples, we will be able to draw the same conclusions. A major factor determining the confidence interval is the size of the sample used in the estimation procedure. Lower margin of error typically requires a larger sample size.

The width of the confidence interval gives us some idea about how uncertain we are about the findings. A very wide interval may indicate that more data should be collected before any definite conclusions can be drawn. Thus, if we graph the confidence intervals on the bar chart below, we see that some of them overlap. Overlapping confidence intervals indicate that we cannot be sure about the statistical significance of the findings. Thus, we cannot be sure if there has been a statistically significant change in attitudes on FGM/C for any of the ethnic groups except for Gourmantche and Mossi, since these are the only groups for which the confidence intervals (represented by the lines below) do not overlap.

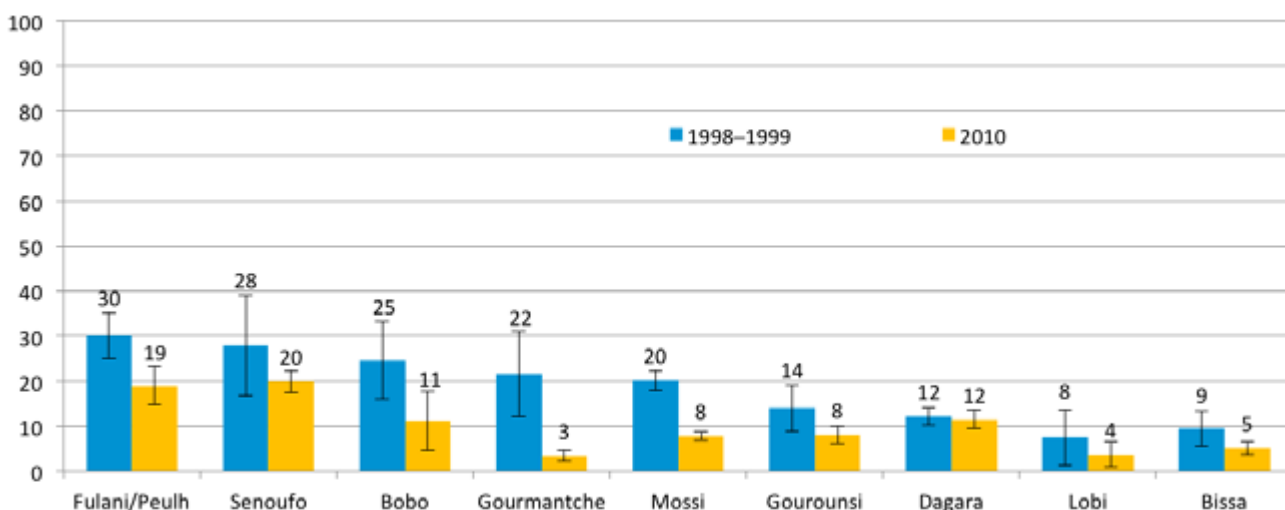
TOOLS

- **Analyzing Quantitative Data**, University of Wisconsin-Extension, 1996.
- **Data Analysis Primer**, The College at Brockport, 2013 provides simple basic guidance on univariate, bivariate and multivariate analysis.

In some cases, a thorough quantitative interpretation can be carried out by a UNICEF or partner staff with the appropriate technical background. However, in most cases, child protection country office staff will be required to identify a **specialist** who works alone or as part of a team with strong quantitative skills and **supervises** the work carried out. In any case, child protection staff need to have at least *basic* understanding of statistical concepts.



FIGURE 11: Percentage of girls and women aged 15 to 49 years who have heard about FGM/C and think the practice should continue in Burkina Faso, by selected ethnic groups with comparable data, in 1998–1999 and 2010



QUALITATIVE RESEARCH SKILLS

Interpreting *qualitative* data requires a good understanding of qualitative research methods. Similar to statistical skills, child protection staff require a basic understanding of qualitative research methods and their strengths and weaknesses to properly interpret the data.

TOOL

- ***Analyzing Qualitative Data***, University of Wisconsin-Extension, 2003.

TOOLS

Key tools for monitoring child protection programmes are (a) the **M&E plans**, (b) the **RAM**, (c) **indicator tracking sheets**, and (d) **work plans and budgets**.

M&E PLANS

The M&E plan for a child protection programme – which is part of UNICEF’s overall IMEP – is a living document and needs to be **updated** and **revised** on an **ongoing basis**. The need for new

data collection might arise, planned monitoring activities could be delayed or changed, external factors could require a revision of the M&E plan, and so on. See [Module 2](#) for details on a child protection M&E plan and the IMEP.

RESULTS ASSESSMENT MODULE (RAM)

TOOL

- **Procedure on Using the Results Assessment Module (RAM 2.0) of VISION/inSight**, UNICEF, 2014.

The RAM enables the entry of information on the status of results and related indicators at various levels. It includes the regular tracking of **indicators** as well as a **narrative assessment** of progress on a quarterly basis. This relates to:

- Summarizing major achievements during the reporting period, highlighting changes in indicators where possible
- Referencing specific contributions made by the UNICEF programme
- Referencing contributions of other organizations, groups, allies, etc. (i.e., those other than implementing partners) towards achieving the result as relevant
- Noting any significant internal (funding, coordination, management issues, etc.) and/or external factors (economy, political or natural disasters, etc.) which contributed to or hindered progress
- Outlining any adjustments – either foreseen or currently under way

INDICATOR TRACKING SHEETS

TOOL

- **Using Indicator Performance Tracking Tables**, Catholic Relief Services, American Red Cross and United States Agency for International Development, 2008.

The RAM captures only a limited amount of *key* indicators. To track the entire set of indicators of a child protection programme on all levels, including disaggregated data, it is recommended to make use of an **indicator tracking sheet**. Such a sheet is simply a spreadsheet or database where we include updated data for all indicators on a regular basis – usually every quarter. An indicator tracking sheet can take many forms (e.g., on paper, an electronic spread sheet like MS Excel, or a database like MS Access), but usually contains the information in the sample tracking sheet below.



EXAMPLE OF AN INDICATOR TRACKING SHEET

	Baseline (1st quarter 2014)	2nd quarter 2014	3rd quarter 2014	4th quarter 2014	1st quarter 2015	2nd quarter 2015	Target 4th quarter 2016
Impact indicator.								
Outcome indicator 1.								
Output indicator 1.1.								
Output indicator 1.2.								
Output indicator 1.3.								

WORK PLANS AND EXPENDITURE

Work plans and expenditure reports can be a valuable source of data on programme delivery, since they provide data to track the timely delivery of outputs and the extent to which costs remain within the budget.⁹³

RESOURCE

- UNICEF Programme, Policy and Procedure e-Manual, Section 4.2: Work Planning, 2011.

For example, the following information can be worth tracking based on work plans and budgets:

- *What percentage of planned activities has actually been carried out during the previous 12 months?* While this information does not consider that activities might differ in scope and importance, it can give us an overall understanding as to whether the project is delivering as planned or if there are significant delays, and can enable us to take corrective action if needed.
- *What percentage of planned expenditures has actually been spent during the previous 12 months?* Again, by itself this information is not necessarily meaningful, but in conjunction with other data it can give us an understanding as to whether the programme is carrying out activities in line with planned costs.

⁹³ Work plans in UNICEF can take the form of annual work plans, multi-year work plans or rolling work plans.

PROCESSES

RESOURCE

- UNICEF Programme Planning, Policy and Procedure e-Manual, Section 4.9: Programme Reviews and Reporting, 2014

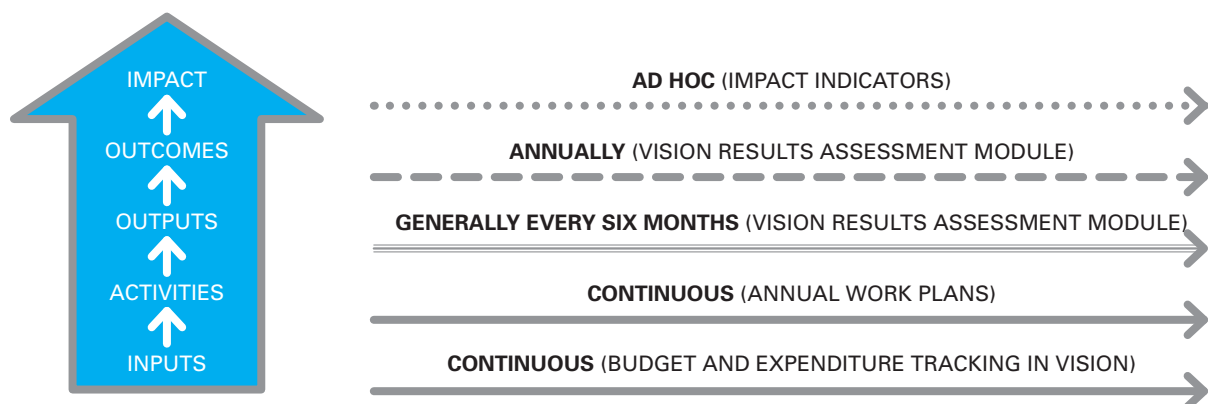
Although monitoring is a continuous process, there are some key points during the programme cycle when UNICEF and partners use monitoring data to adjust the programme as needed.

- During the **Mid- and Annual Programme Reviews**, UNICEF and its partners review the child protection situation in the country, assess progress towards planned programme results and revise work plans.
- During the **Mid-Term Review**, UNICEF and its partners review and document evidence of ‘what works’ in achieving and sustaining results. The Mid-Term Review is usually held halfway through the programming cycle.

Module 3, STEP 2: Collect data

A key step in continuous monitoring is the collection of new data. New **quantitative data** on child protection outcomes usually come from sample surveys or a census (conducted with or without UNICEF’s support), Information Management Systems for or including child protection (including injury surveillance systems), programme management systems like VISION, data from implementing partners and administrative sources. New **qualitative data** on child protection outcomes usually come from open-ended interviews (including focus groups), observations, case studies, documents, reports, media reports, photographs and video or audio sources. Child protection staff should collect new data on an ongoing basis on **five levels** (figure 12).

FIGURE 12: Elements and levels of child protection monitoring with typical frequency and key tools



INPUT AND ACTIVITY MONITORING

Input monitoring refers to the **funds and human and material resources** used for the implementation of a child protection programme. Data are usually readily available from **VISION** and **administrative data** of the programme. This information can often be accessed in **real time**, i.e., without a time gap. Key data sources for input data are usually (a) the programme **budgets** and (b) **expenditure** reports.

Activity monitoring refers to **what UNICEF and its partners do** as part of a child protection programme. Key data sources for output and activity-level data are (a) annual or quarterly **work plans** by UNICEF and implementing partners, (b) activity-level **reports** from implementing partners and (c) **field monitoring reports**.

OUTPUT MONITORING

Output monitoring usually relates to monitoring the reduction of bottlenecks and barriers. Data can be drawn from desk reviews, routine data, rapid surveys, sentinel site surveillance, community-based monitoring and citizen monitoring. Please see guidance note on [The Determinant Analysis for Equity Programming](#) for more on these data collection methods.

This monitoring should occur at least every six months to one year or even more frequently depending on the need, plausibility of change within a specific time period, and feasibility of frequent data collection (i.e., through innovative technologies and approaches). For monitoring of bottleneck/barrier reduction to be sustainable and done at scale, it is important that it is institutionalized in existing systems, primarily those of the government, to the extent possible.

OUTCOME MONITORING

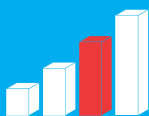
Monitoring what UNICEF and its partners achieve in improving coverage and functioning of the child protection system and social norms (outcome) is crucial, since it links what UNICEF *does* (outputs) with the broad changes in how well children are protected (impact). Only solid monitoring at the outcome level provides a sufficient basis for credibly showing UNICEF's contribution to a long-term impact.

In line with the RAM, progress towards outcomes should be assessed at least **annually** as a result of the annual review. This includes the same elements as for monitoring outputs. However, new data on outcomes might **not always be available** on an annual basis. For example, a sample survey of provincial development plans might only make sense every three years, not every year. In such cases, our assessment of progress towards the outcome would remain the same as during the previous assessment.

IMPACT MONITORING

Typically, new impact-level data are collected through large-scale **household sample surveys** (see [Module 1, STEP 2](#), for a detailed example), **administrative data**, **surveillance systems** that include child protection data, **qualitative studies and research**, and **child protection mappings or assessments**.

Ideally, new information on progress towards the expected impact is available on a **regular and ongoing** basis. This is usually the case if a well-established and functioning Information Management System for child protection (or a system that includes child protection information) or a surveillance system is in place. In many cases, however, impact-level monitoring is often **expensive** and might **depend on the frequency and type of primary data collection**. That is why monitoring and assessing the impact of child protection programmes is usually triggered by the **availability of new data**. Depending on the frequency of data collection, it is not uncommon to find that **no significant new data or information** are available at the impact level on a quarterly or



Monitoring quality of services in Zimbabwe

The UNICEF Country Office in Zimbabwe has developed a set of interdependent tools to **monitor** child protection **services** provided by its **implementing partners**. The Country Office reacted to an apparent shortcoming in its programme that focused on the number of children served rather than on the **quality and intensity of the service** provided.

Together with its implementing NGOs and under the ownership of the Ministry of Labour and Social Services, UNICEF developed **four tools**:

- The **Most Critical Intervention**, based on an integrated set of **quantitative indicators of quality** for each NGO. For example, a legal aid NGO reports on the percentage of children responded to within 24 hours, and the percentage of children for whom a defined

sequence of action has been taken to avoid pre-trial detention.

- **Promise cards**, based on a protocol developed by each NGO to collect regular feedback from children regarding the promises made by the NGO.
- **Ask the Expert**, a list of 15 aspects of psychosocial well-being of children that can be aggregated to provide a numerical indicator that can be measured over time.
- **Quality Case File**, a checklist of 20 case file and coordination standards against which case files can be reviewed and scored.

Each partner organization reviews a sample of case files quarterly using a Quality Case File and Coordination protocol to minimize bias on a quarterly basis. It is the role of the child protection staff to support these tools and collate the data from its many partners.

QUALITY CASE FILES AND COORDINATION INSTRUMENT

Quality categories and components	Points	Weight %
INTAKE INFORMATION is well documented <ul style="list-style-type: none"> ■ Child, parent, caregiver names and contact information ■ Reason for intake and who is making the referral ■ Provision of Child Friendly Resource 	3	15%
A CASE PLAN exists and is dynamic <ul style="list-style-type: none"> ■ An assessment is undertaken and documented ■ A plan of action is developed with timeframes and key activities, based on assessment ■ The beneficiary (and/or care giver) informs and participates in the case plan ■ The most critical needs and interventions are prioritized ■ Plans are reviewed by colleagues and/or supervisors, and partners ■ As needed, the case plan adjusts based on changing circumstances 	6	30%
CASE NOTES provide comprehensive documentation of activities <ul style="list-style-type: none"> ■ Notes in case logs are clear and timely ■ Dates and responsible parties are noted, case entries are signed or initialed ■ Case notes are organized to show progression of case plan implementation 	3	15%
REFERRALS and services are well coordinated <ul style="list-style-type: none"> ■ Effective referral forms are being used to enable access to other service providers ■ A follow up system exists to best ensure beneficiary access to referral parties ■ Case file documents results of referrals 	3	15%
Beneficiary WELL-BEING is clearly documented <ul style="list-style-type: none"> ■ Indicators of quality are clearly evident in the objectives of the case plan ■ Quantitative/qualitative indicator results are easily identified for programme reporting ■ Rationale exists and documented for case closure, case file is complete upon closure 	3	15%
Case files are PROTECTED and ORGANIZED <ul style="list-style-type: none"> ■ Files are secure for confidentiality and longevity ■ There is organized storage for efficient and long-term retrieval 	3	15%
Total:	20 points.	100%

Source: United Nations Children's Fund, 'Promising Quality: Making sure that we deliver excellent services for children – Monitoring and evaluating quality in child protection', UNICEF Zimbabwe, Harare, Zimbabwe, 2012.

annual basis. This will especially be the case during the first few years of a child protection intervention. However, it is still worth systematically reviewing the new evidence to verify that there is indeed no new information even indirectly relevant to child protection. In these situations, our assessment of impact remains the same as during the previous assessment.

Some of the collected data are subsequently used to **update** all or at least some of the **indicator data** in the **indicator tracking sheet** for the child protection programme and in the **RAM**.

Module 3, STEP 3: Interpret the data

Monitoring consists of **continuously reviewing and interpreting existing and new quantitative and qualitative data** on progress towards and the achievement of programme impact and outcomes, the removal of bottlenecks and barriers and the delivery of outputs, the activities carried out and the resources used. Some of the key issues will be similar to those identified in Module 1 (situation analysis), but those that are especially relevant for programme monitoring are discussed here.

A key tool for interpreting data is **triangulation**. Triangulation increases the **validity** and **accuracy** of an analysis by providing two **or more independent estimates** of changes towards the outcome. As a result, the analysis becomes more **credible** and **reliable**. Triangulation is also a useful method to **reduce cost and time of data collection**. For example, when data from household surveys are not available, data from administrative sources can be combined with information from selected in-depth interviews with key informants.

There are two **types of triangulation** which can be useful for child protection:

- **Triangulation by method:** This is typically carried out by combining quantitative and qualitative methods to answer the same question. Triangulation is the most frequently used mixed-



method approach. For example, we can triangulate results from a small sample survey of police stations with findings from focus group interviews with police officers and children in detention.

- **Triangulation by source:** This allows us to check the consistency of the available data. For example, results from focus group interviews of children in need of psychosocial support are cross-checked with results from a prior rapid assessment.

INTERPRETING QUANTITATIVE DATA

Some common mathematical techniques – called **descriptive statistics** – help us in analysing and interpreting raw data: numerical counts, frequencies, percentages or measures of central tendency (like range, standard deviation and variance). For reviewing the *quality* of data, see Module 1, STEP 3).

An interpretation of quantitative information usually starts with a **univariate analysis** (based on one variable) to determine frequencies and trends over time. We can then conduct a **bivariate analysis** (based on two variables), before moving to a more complex **multivariate analysis** (involving more than two variables).

UNIVARIATE ANALYSIS

Typically, the first step in analysing quantitative information is the **description or summarization of individual variables**. This requires a simple and common mathematical technique called univariate analysis. A univariate analysis can summarize large quantities of numerical data to reveal patterns of violence, exploitation, abuse and neglect. In univariate analysis, **only one variable** is analysed and the main purpose is **description**. This typically involves identifying the **central tendency** (mean, mode, median), **dispersion** (range, variance, maximum, minimum, quartiles and standard deviation) or **frequency distributions**. Sample questions that can be answered through a univariate analysis are:

- *What is the average number of children detained in correctional facilities?*
- *What percentage of women aged 20–24 from the poorest quartile are married before age 18?⁹⁴*

94 A quartile is each of four equal groups into which a population can be divided according to a particular variable, e.g., poverty.

EXAMPLE

- ***Child Disciplinary Practices at Home: Evidence from a range of low- and middle-income countries***, UNICEF, 2010.

- What proportion of children experienced physical violence in childhood by caregiver, intimate partner, authority figure or other person?

Univariate data can be presented in **tables** or graphically depicted as a **bar graph**, **histogram**, **pie chart**, **line graph** or a **box-and-whisker plot**.

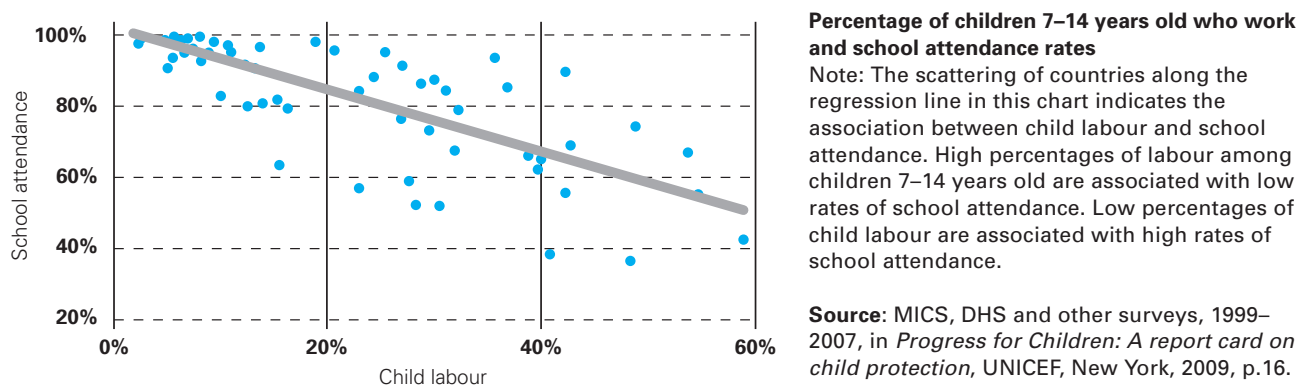
BIVARIATE ANALYSIS

A bivariate analysis (i.e., with two quantitative variables) is the analysis of the **relationship between two variables**. A bivariate analysis allows us to judge whether one variable (e.g., receiving psychosocial support) is associated with another variable (e.g., self-reported well-being of children). Sample questions from child protection that can be answered through a bivariate analysis are:

- Do countries with a high percentage of children who work have lower rates of school attendance?
- Do countries with a high percentage of girls married in childhood have higher rates of early childbearing?

Bivariate data can be presented in **tables** or graphically depicted as a **scatter plot**.

FIGURE 13: Example of a scatter plot showing a correlation⁹⁵



⁹⁵ The figure shows a correlation, but not necessarily a *causal linkage* between the two variables.

A **multivariate analysis** (i.e., with more than two variables) is more complex. It involves examining the relationship between more than two variables. It can tell, for instance, if other factors (such as sex or age) influenced the relationship between psychosocial support and self-reported well-being.



INTERPRETING QUALITATIVE DATA

As with all data, qualitative data also requires critical analysis and interpretation. For reviewing the *quality* of data, see [Module 1, STEP 3](#). Analysing text or narrative data is called **content analysis**. Interpreting qualitative data on child protection can help us to better understand **why** a **trend** noted in quantitative analysis **occurred**, or provides insights into **what** a **pattern means**. Qualitative data can be **useful** by itself, or it can help us **fill gaps** left by quantitative data. For example, population-based surveys are generally less well-suited to capture the nuances around decision-making within households. This gap may be filled with findings from qualitative tools.

Interpreting qualitative data is particularly effective when done jointly with *quantitative* data. This is a strong form of **triangulation** and is an application of a **mixed method** approach.⁹⁶ There are three main ways to mix quantitative and qualitative methods:

- **Sequential:** A qualitative method followed by a quantitative method (or vice versa)
- **Parallel:** Quantitative and qualitative methods are conducted at the same time
- **Multi-level:** Quantitative and qualitative methods are used *on various levels* at the same time (for example, the multi-level approach is particularly useful for studying the delivery of public services such as child protection, since this requires studying both how the programme operates at each level and the interactions between levels)⁹⁷

Interpreting mixed method triangulation with qualitative data can yield different **results**:

- If there is **consensus across data sources**, this points to potentially strong evidence. For example, the same information might emerge from (a) a sample survey on child labour; (b) a series of focus group discussions; and (c) monitoring data from a government department or a local NGO.

TOOL

- ***Analyzing Qualitative Data***, University of Wisconsin-Extension, 2003.

⁹⁶ A weaker form would be to triangulate between multiple data sources of the *same type* (e.g., only qualitative data).

⁹⁷ Bamberger, Michael, and Marco Segone, 'How to Design and Manage Equity-Focused Evaluations', United Nations Children's Fund, New York, 2011.

- **Contradictions among data sources** can also provide important information since they reveal different viewpoints. For example, results from focus group discussions on FGM/C can be different from administrative data.

Module 3, STEP 4: Report on progress

Reporting on progress involves the collection of monitoring data on all levels of the result chain (**STEP 2**) and the interpretation of data (**STEP 3**). Reporting involves developing a **credible story line as far up the result chain** as we can. It covers the extent to which the inputs so far have been used to carry out activities, deliver outputs, make progress towards outcomes and – if possible at a later stage of the programme – to what extent there are signs of changes towards the desired impact. Alternatively, the story line can also be described from impact and outcomes down to outputs, activities and inputs.⁹⁸

Reporting on outcomes should make good use of the set of outcome **indicators** for an initial analysis on progress. Since indicators – if properly designed – only provide us with *limited* key information, reporting on outcomes should subsequently also include additional quantitative (e.g., disaggregated) and qualitative data.

Data for reporting on inputs, activities and outputs are usually readily available. A complete report on these levels should include information on **what** UNICEF and its partners do, whether we do it **in time**, and whether we deliver it in sufficient **quality** and within the planned **budget**.

Each of the three levels has a set of **key questions** to ask, typical tools and possible actions resulting from monitoring and reporting.

In line with the **RAM**, the delivery of planned outputs should be reported on at least every **six months**. The reports should follow



98 Quarterly reporting is frequently limited to input, activity and output reporting if no new outcome-level data are available.



the mid-year review (latest by 31 August) and annual review (by 31 January), and be carried out collaboratively with key partners. Each report will include for each child protection output:

- A **narrative analysis of progress** towards the output
- A **rating of progress** (on track, constrained, no progress, met, discontinued)
- An update of the **indicator status**
- **Documentary evidence** for the analysis, the rating and the indicator status

SIMPLIFIED EXAMPLE OF DEVELOPING A STORYLINE BASED ON MONITORING ON THREE LEVELS

Compared to 2010, the public is increasingly aware about corporal punishment of children: reports about domestic corporal punishment in five key national newspapers have increased by 350 per cent in three years. While in 2009 only 16 per cent of parents stated that corporal punishment at home is not acceptable, now 35 per cent of parents find it unacceptable.*	OUTCOME (<i>triangulated</i>) 
UNICEF supported three national media campaigns, which were watched by at least 60 per cent of the country's population. Over 1,500 journalists were trained on how to cover corporal punishment in a three-day training course. A module on corporate punishment was incorporated into the national curriculum of the journalism academy.	ACTIVITIES & OUTPUTS 
From 2010 to 2013, UNICEF and its partners invested \$1,500,000 in reducing domestic corporal punishment.	INPUTS

* Requires primary data collection (media monitoring, opinion survey).

TABLE 24: THREE LEVELS OF REPORTING WITH KEY QUESTIONS AND TOOLS

Level of monitoring	Key questions to ask	Key tools	Possible actions as a result of monitoring
Input	<ul style="list-style-type: none"> ■ Is the programme spending what has been planned in the budget? ■ Are the inputs relevant, necessary and sufficient for the activities? ■ What is the delivery rate? 	<ul style="list-style-type: none"> ■ Budget and expenditure tracking in VISION or by implementing partners 	<ul style="list-style-type: none"> ■ Revise budgets and budget allocations ■ Mobilize additional resources
Activities	<ul style="list-style-type: none"> ■ Is the programme carrying out activities as planned? ■ Are all activities carried out? ■ Are they carried out in time? ■ Are they carried out in a cost effective manner? 	<ul style="list-style-type: none"> ■ Annual Work Plans of the Child Protection Section 	<ul style="list-style-type: none"> ■ Change time plan for activities ■ Stop, modify or include new activities
Outputs	<ul style="list-style-type: none"> ■ Is the child protection programme delivering the planned outputs? ■ Are they delivered in time and are of good quality? 	<ul style="list-style-type: none"> ■ Narrative assessment and update of indicators in VISION's Results Assessment Module ■ Qualitative tools 	<ul style="list-style-type: none"> ■ Change, discontinue or introduce new outputs

The narrative analysis of progress towards delivering planned outputs has to summarize **major results** during the reporting period. It should be **concise** (maximum 300 words). The analysis should be based on credible (including quantitative) **evidence** and should use **change language**. For example, a six-month update of an output on orphans and vulnerable children could read as follows:

TOOLS

- Procedure on Using the Results Assessment Module (RAM 2.0) of VISION/inSight, UNICEF, 2014.
- UNICEF Programme, Policy and Procedure E-manual, Section 4.9: Programme Reviews and Reporting, 2014.
- UNICEF Programme, Policy and Procedure E-manual, Section 4.8.4: Donor Reporting, 2014.

In the past six months, a total of 3,815 children living on the streets have been assisted by eight NGOs supported by UNICEF. A rapid assessment, an anthropological study and statistical survey on children living on the streets now provide a more solid base to target orphans and vulnerable children in 2013. With UNICEF's support, 360 social workers now have better skills for child temporary care and referral. UNICEF has started to advocate for uniform standards for assistance to children living in the street, resulting in a national conference and a draft standard text which is currently being reviewed by the government.

REPORT ON OUTCOMES

Reporting on progress towards outcomes is **crucial**; it deals with *real* improvements in the child protection system and positive changes in social norms.

Further, there has been increasing **pressure by donors and the broader public** to shift the focus of reporting away from activities and outputs to the outcome level. This does not imply abandoning reporting on outputs, but **balancing** it with strong and credible proof of changes at the outcome level.

Even the conclusion that **no measurable progress** towards a planned outcome can be detected is a valid conclusion. Especially in the first years, or for complex, long-term interventions that involve changes in social norms, practices and beliefs, this can be expected.



DEMONSTRATE CONTRIBUTION, NOT ATTRIBUTION

If we claim a cause-and-effect link between what child protection programmes do and what they achieve, we need to be aware of **two types of causality**:

- **Attribution** refers to the extent to which changes in child protection, in the child protection system or in related social norms can be attributed to a UNICEF-supported child protection programme. An example is the claim that “89 per cent of children from minority groups are now registered compared to 70 per cent in 2011 due to the UNICEF-supported outreach programme.”
- **Contribution**, instead, refers to the fact that a UNICEF-supported child protection programme *contributed* to changes in child protection, in the child protection system or in related social norms. An example is the claim that “a UNICEF-supported outreach campaign contributed to a rise in birth registration among children from minority groups from 70 to 89 per cent.” Contribution recognizes that there might be other factors and actors that influence an outcome.

Ideally, we would be able to demonstrate that positive results can be attributed to a child protection programme. However, in many cases, we will not have sufficient evidence to back up such a claim. Challenges can be:

- **Multiple actors** contributing to the same or a similar outcome
- **External factors** influencing the outcome
- The complex nature of child protection interventions that does not always follow **linear** logical modelling

That is why in most cases, we will **only be able to demonstrate a credible contribution of UNICEF and its partners to the desired outcome.**

RESOURCE

- **Attribution versus Contribution** (chapters 6.1.–6.2.), in *Outcome-Level Evaluation: A companion guide to the handbook on planning monitoring and evaluating for development results for programme units and evaluators*, UNDP, 2011.



A claim that UNICEF's support has contributed to a change towards the desired outcome is more **credible** if the following information is available:

- A completed **thorough assessment of the outputs** (e.g., if the attitude of private-sector employers to child labour has significantly shifted over the past few years and if UNICEF supported massive education advocacy and national enforcement of child labour laws, it is credible to claim that UNICEF's support has contributed to this change – especially if no obvious other external factors or players were involved)
- **Multiple data sources and methods** to back up this claim (triangulation)
- **Qualitative tools** that confirm a cause-and effect relationship (e.g., case studies that confirm that broad advocacy with religious leaders has shifted attitudes towards physical punishment in a district)

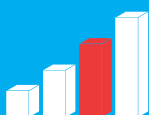
REPORT ON IMPACT

Monitoring of a child protection programme is **typically not sufficient** to demonstrate contribution at the impact level. Monitoring typically does not continue after the *end* of a child protection programme. This is a challenge since it is often *after a programme ends* that we most likely detect changes at the *impact* level.

Instead, a more reliable tool to report on impact is an **impact evaluation** (see [Module 4](#)). An impact evaluation of child protection can build on information from the monitoring system and try to establish the final linkage from the outcome level to UNICEF's contributions at the impact level. For impact as well as outcome evaluations, it may be preferable to undertake **joint evaluations**. Evaluations by a group of partners are more promising in capturing the joint efforts of all participating actors, since questions of linking results to individual actors are not part of such an evaluation. Joint impact evaluations might also even plausibly *attribute* wider development results.

EXAMPLE

- An example of a joint evaluation on the outcome and impact level is the [Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting \(FGM/C\): Accelerating change – 2008–2012 – vol. I](#), UNFPA and UNICEF, 2013.



Module 3, STEP 5: Use monitoring information

The main point of a monitoring system is not simply to generate continuous results-based information, but to **get that information to the appropriate users in a timely fashion** so that the performance feedback can be used for improved management. Findings from monitoring can be particularly useful to **revise** the programme, **upscale or replicate** it and inform future **evaluations**.⁹⁹

USING FINDINGS TO REVISE THE PROGRAMME

The most immediate use of monitoring data is to **adjust or revise a child protection programme**. While evaluations can serve the same purpose, information from monitoring is generated more frequently and with a smaller time gap. Adjustments or revisions can impact the programme document, the Annual Work Plans, the programme budget and resource allocation, the UNICEF country programme, UNDAF, and even government plans and policies.¹⁰⁰

Here are some hypothetical examples of how monitoring could lead to revisions of a child protection programme:

- Monitoring of the Annual Work Plan shows that only 65 per cent of planned activities have been carried out over the past six months. Programme management sets up an informal inquiry as to what caused these delays.
- Monitoring of the budget and expenditures shows that procurement costs of birth registration equipment are on average 65 per cent lower than expected. Programme management negotiates with the donor to reallocate the resources to capacity development instead.
- A key bottleneck to addressing peer to peer physical violence in schools was lack of teachers' awareness and knowledge on the issue and how to address it; thus, UNICEF and partners are

⁹⁹ Kusek, Jody Zall, and Ray C. Risk, 'Ten Steps to a Results-Based Monitoring and Evaluation System', The World Bank, Washington, D.C., 2004; and United Nations Development Programme, 'Handbook on Planning, Monitoring and Evaluating for Development Results', UNDP, New York, 2009.

¹⁰⁰ If the child protection programme is funded by a donor, the information from the monitoring system can be used to provide evidence that a revision is required in order to achieve the outcome as planned, to achieve it faster or to achieve it with fewer resources.

implementing a teacher training programme and are measuring how many teachers apply their knowledge to address the issue. Small sample surveys of 1,500 teachers trained in preventing and responding to physical violence among schoolchildren show that only 10 per cent apply the key content of the training in every day work. Programme management commissions a qualitative study to find out why this is the case and how the training could be better targeted to the needs of the teachers.

- After three years, outcome-level monitoring indicates that the two outputs of the programme to change attitudes towards birth registration (media outreach campaign, capacity building of hospital staff) do not appear to be sufficient. UNICEF negotiates with the donor to include an additional output at no extra cost that would make it more likely the planned outcome would be achieved.

The use of data from frequent monitoring of bottlenecks/barriers (which usually corresponds to output level) to adjust programmes, policies and plans is referred to as the 'feedback loop' in MoRES. Analysis of data should always be done jointly with government and partners to agree on the best course of action to improve progress towards the results.

USING FINDINGS TO SCALE UP OR REPLICATE

Close monitoring is particularly important if the child protection programme is a **pilot** or **trial** for possible wider **replication** or **scaling up**. A pilot programme or trial tries out a set of interventions to see if they achieve the desired outcome. If they do, they can be repeatedly adjusted and scaled up.

USING FINDINGS TO INFORM EVALUATIONS

Proper monitoring and the organization and storing of data are invaluable preparations for future evaluations. Evaluations can subsequently build on the information and focus on issues which are usually beyond monitoring (e.g., establishing a credible claim of contribution through an impact assessment).



CASH TRANSFER PROGRAMME FOR ORPHANS AND VULNERABLE CHILDREN, HOW EFFECTIVE M&E INFORMED SCALE-UP

In 2004, the Government of Kenya initiated the Cash Transfer Programme for Orphans and Vulnerable Children. It provides regular and predictable income to encourage fostering of vulnerable children and to help them stay with their families and communities. The social protection programme, implemented by the Department of Children's Services, reaches more than 150,000 households with an estimated 500,000 orphaned and vulnerable children across the country.

The programme began in response to a concern for the welfare of orphans and vulnerable children, particularly AIDS orphans. The Government of Kenya, with technical and financial assistance from UNICEF, designed and began implementing a pre-pilot cash transfer programme in December 2004 covering 500 households in three districts. Following a review in 2005, the Programme expanded to 10 additional districts, using the Government's own resources and reaching a further 2,500 households. In total, 3,000 recipient households were reached in Phase 1.

The second phase from July 2006 to June 2009 revised the design and further expanded the Programme to four new districts. To inform future design and scale-up, a cluster randomized longitudinal design study was planned, consisting of a baseline in 2007 and a 24-month follow-up in 2009, both conducted by Oxford Policy Management. The ethical rationale for the design was that the programme could not expand to all eligible locations at the same time, so locations whose entry would occur later in the expansion cycle could be used as control sites to measure impact. Thus, within each of seven districts across the country (Garissa, Homa Bay, Kisumu, Kwale, Migori, Nairobi and Suba), four locations were identified as eligible, and two were randomized out of the initial expansion phase and served as control locations. Targeting

of households was carried out in all four locations (per district) according to standard programme operation guidelines. The evaluation sample for the study consisted of 2,759 households and approximately 15,500 individuals.

A comparison of findings in 2009 against the 2007 baseline revealed:

- 13 per cent of households living on less than \$1 a day
- 15 per cent more food consumption and a substantial improvement in dietary diversity
- 15 per cent increase in children aged 6 to 7 years enrolled in primary school
- 6 per cent increase in children aged 13 to 17 years enrolled in secondary school
- 3 per cent reduction in the proportion of children aged 6 to 13 doing paid work
- 2 per cent reduction in working children aged 14 to 17

In 2011, a four-year follow-up survey was conducted, which used a subset of the original evaluation sample. Approximately 1,912 households were identified as being in either the treatment or control arm and surveyed in 2007 and 2009. Of these households 1,810 were actually located and enumerated. In addition, approximately 140 individuals between the ages of 15–24 were tracked and interviewed, for a total of 1950 households and over 11,000 individuals.

The objectives of the study were to examine the medium-term impacts of the programme on household economic activity and welfare, and the transition of orphans and vulnerable children into young adulthood. Information was collected on approximately 2,400 young people ages 15–25 on schooling, psychosocial status, hopes for the future, marriage, pregnancy, sexual activity, partner characteristics, friends, how they spend time and future expectations.

The 2011 evaluation showed the programme's positive effect on reducing the vulnerability of girls and women. The Government and its partners have now expanded the initiative to cater to at-risk children, so that children and families visiting Child Protection Centres throughout Kenya can be referred to the programme.

Module 3: Special considerations in a humanitarian context

Many of the principles, tools and approaches to monitoring child protection programmes also apply to a humanitarian context. However, in a humanitarian context, the child protection situation needs to be monitored **more frequently** to better reflect an often fast-changing situation and to determine if new risks or concerns or violations are happening. Higher-frequency Humanitarian Performance Monitoring – aligned to the CCCs – is monitored **outside the RAM**. Instead, inter-agency reporting mechanisms and Situation Reports (SitReps) are being used. However, the information should be included in progress monitoring on the outputs and outcomes of the RAM.

The **Minimum Standards for Child Protection in Humanitarian Action** are part of CPWG’s broader minimum standards for child protection.¹⁰¹ Standard 6 refers to child protection monitoring: *‘Objective and timely information on child protection concerns is collected in an ethical manner and systematically triggers or informs prevention and response activities’*. The minimum standards includes a **list of key actions** for preparedness and response and suggests **seven indicators** to measure and track humanitarian performance.

TABLE 25: OUTCOME INDICATORS AND TARGETS FOR HUMANITARIAN PERFORMANCE

Outcome indicator	Outcome target
1. Percentage of regular reports (for example, situation reports) that include information on child protection concerns	100%
2. The information included in the CP monitoring system is, at least, disaggregated by sex and age.	Yes
Action indicator	Action target
3. Percentage of data collectors trained on data collection on child protection, including ethical considerations	100%
4. The average percentage of female membership in monitoring teams	50%
5. A common monitoring framework is agreed upon, including indicators, data collection methods and frequency of data collection	Yes

¹⁰¹ <cpwg.net/?get=006914%7C2014/03/CP-Minimum-Standards-English-2013.pdf>.



6. In armed conflict situations, and where the MRM is activated, grave violations against children are monitored in compliance with the MRM Field Manual, and conflict-related sexual violence is monitored in accordance with relevant guidance	Yes
7. Number of cases that went through a “best interest determination process”	

Source: Child Protection Working Group, ‘Minimum Standards for Child Protection in Humanitarian Action’, CPWG, 2012.

Generic guidance with tools and templates on humanitarian performance monitoring by UNICEF is provided in the detailed, **Humanitarian Performance Monitoring Toolkit**, of UNICEF. The ‘**Access Monitoring & Reporting Framework**’ of the Office for the Coordination of Humanitarian Affairs provides country offices with a tool to collect and analyse data on the impact of access constraints on the humanitarian response. Guidance on monitoring **mine risk reduction** can be found in the ‘IMAS Mine Risk Education Best Practice Guidebook 7: Monitoring’.

Systematic **field monitoring** is required for feedback on programme quality. It covers whether the programme is being implemented as expected, identifies bottlenecks and barriers in implementation, determines equity of use and access, identifies unintended negative impacts (i.e., the humanitarian principle of ‘do no harm’) and builds local capacities.

TOOLS

- ***The Minimum Standards for Child Protection in Humanitarian Action***, Child Protection Working Group, 2013.
- ***Humanitarian Performance Monitoring Toolkit***, UNICEF, 2011.
- ***Community of Practice for Humanitarian Performance Monitoring***, UNICEF.
- ***IMAS Mine Risk Education Best Practice Guidebook 7: Monitoring***, UNICEF, 2005.
- ***Field Monitoring Tools***, Office of Emergency Programmes Reference Library, UNICEF, 2012.

RESOURCE

- **MRM country reports** including data.

TOOLS

- **Monitoring and Reporting Mechanism (MRM) on grave violations of children's rights in situations of armed conflict**, UNICEF, 2011.
- **MRM Guidelines, Field Manual and Training Toolkit** are accessible at www.mrmtools.org/mrm/.

MONITORING AND REPORTING MECHANISM (MRM)

The Security Council requested the United Nations Secretary-General in Resolution 1612 to establish an **MRM on grave violations against children in situations of armed conflict**, managed by country-based task forces co-led by UNICEF and the highest United Nations representative in the country, to provide timely and reliable information on **six grave children's rights violations**:

- Killing or maiming of children
- Recruitment or use of children by armed forces or armed groups
- Attacks on schools or hospitals
- Rape or other sexual violence against children
- Abduction of children
- Denial of humanitarian access to children

The MRM is established in **countries** where parties to conflict have been listed in the annexes of the annual report of the Secretary-General on children and armed conflict. In the past, only parties that recruit and use children were included in the annexes of the annual report. In 2009 and 2011, the Security Council decided to also list armed forces and groups who kill and maim children, commit sexual violence against children and attack schools and hospitals. The MRM is ended when all parties in a country situation have been delisted and there are no more violations against children.

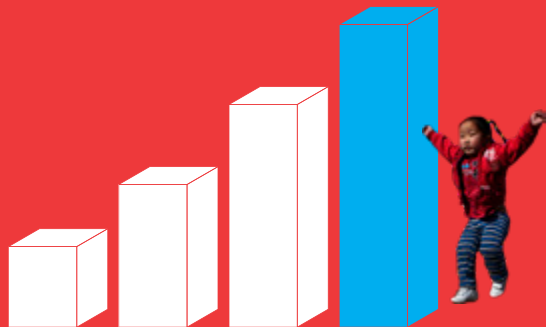
The MRM is increasingly used in conflict-affected countries as an **evidence base for programme response, advocacy and prevention strategies**. Data on general violations is used to inform programming (e.g., attacks on x number of schools in x district; x number of children recruited into armed groups in x geographical area), but the personal details of the victims are obviously not released.



RESOURCES

Bamberger, Michael, and Marco Segone, 'How to Design and Manage Equity-Focused Evaluations', United Nations Children's Fund, New York, 2011	www.mymande.org/content/how-design-and-manage-equity-focused-evaluations
Child Protection Working Group, 'Minimum Standards for Child Protection in Humanitarian Action', CPWG, Geneva, 2012	cpwg.net/minimum-standards/
MRM country reports	childrenandarmedconflict.un.org/virtual-library/
Taylor-Powell, Ellen, 'Analyzing Quantitative Data', University of Wisconsin-Extension, Madison, Wisconsin, 1996	www.learningstore.uwex.edu/Assets/pdfs/G3658-06.pdf
Taylor-Powell, Ellen, and Marcus Renner, 'Analyzing Qualitative Data', University of Wisconsin-Extension, Madison, Wisconsin, 2003	learningstore.uwex.edu/assets/pdfs/g3658-12.pdf
The College at Brockport, Data Analysis Primer, SUNY Brockport, Brockport, 2013	www.brockport.edu/sociology/docs/DataAnalysisPrimer.pdf
United Nations Children's Fund and Geneva International Centre for Humanitarian Demining, 'IMAS Mine Risk Education Best Practice Guidebook 7: Monitoring', UNICEF, New York, 2005	reliefweb.int/report/world/imas-mine-risk-education-best-practice-guidebook-7-monitoring
United Nations Children's Fund, 'Child Disciplinary Practices at Home: Evidence from a range of low- and middle-income countries', UNICEF, New York, 2010	www.childinfo.org/files/report_Disipl_FIN.pdf
United Nations Children's Fund, 'Monitoring and Reporting Mechanism (MRM) on grave violations of children's rights in situations of armed conflict', Web page, UNICEF, New York, 2011	www.unicef.org/protection/57929_57997.html
United Nations Children's Fund, 'Procedure on Using the Results Assessment Module (RAM 2.0) of VISION/inSight', UNICEF, New York, 2014	icon.unicef.org/apps01/bihome/Documentation1/RAM%202.0%20Procedure.pdf
United Nations Children's Fund, 'Promising Quality: Making sure that we deliver excellent services for children: Monitoring and evaluating quality in child protection', UNICEF Zimbabwe, Harare, Zimbabwe, 2012	www.unicef.org/zimbabwe/ZIM_resources_promisingquality.pdf
United Nations Children's Fund, 'The Determinant Analysis for Equity Programming', UNICEF, New York, August 2014	teams.unicef.org/sites/NYHQ01/OED/MoRES/layouts/WordViewer.aspx?id=/sites/NYHQ01/OED/MoRES/Document%20Library/Determinant%20Analysis%20for%20Equity%20Programming%20-%20Final%20Draft%20August%202014.doc&Source=https%3A%2F%2Fteams%2Eunicef%2Eorg%2Fsites%2FNYHQ01%2FOED%2FMoRES%2FDocument%2520Library%2FForms%2FAllItems%2Easpx&DefaultItemOpen=1
United Nations Children's Fund, Child protection intranet site	unicef.org/pd/childprotectionv2.nsf/bebddd2e89ddfb685256fa500598afe/266437046e4dfb7785257acb005e2ba4?OpenDocument
United Nations Children's Fund, Community of Practice for Humanitarian Performance Monitoring	intranet.unicef.org/cop/emopshpm/CommunityContent.nsf
United Nations Children's Fund, Field Monitoring Tools, Office of Emergency Programmes Reference Library, UNICEF, New York, 2012	intranet.unicef.org/pd/pdc.nsf/e59d3405e8ee2cb-9852567460068fae494412c3ce52d4a8085257862007acf56?OpenDocument
United Nations Children's Fund, Humanitarian Performance Monitoring Toolkit, UNICEF, New York, 2012	intranet.unicef.org/emops/emopssite.nsf/root/PageCCCPM1
United Nations Children's Fund, Monitoring and Reporting Mechanism on Grave Rights Violations Against Children – Guidelines, Field Manual and Training Toolkit, 2014	www.mrmtools.org/mrm/
United Nations Children's Fund, Programme, Policy and Procedure e-Manual, Section 4.2: Work Planning, UNICEF, New York, 2014	intranet.unicef.org/dpp/PPPHandbook.nsf/7bcc524d5e5c8df98525770b00743e5e/31f96936d10918df852578dd000ac000?OpenDocument
United Nations Children's Fund, Programme, Policy and Procedure e-Manual, Section 4.9: Programme Reviews and Reporting, UNICEF, New York, 2014	intranet.unicef.org/dpp/PPPHandbook.nsf/7bcc524d5e5c8df-98525770b00743e5e/4eb50578f5edbae385257abc0058c1db?OpenDocument
United Nations Children's Fund, Programme, Policy and Procedure e-Manual, Section 5.3: Monitoring, UNICEF, New York, 2014	intranet.unicef.org/dpp/PPPHandbook.nsf/Site%20Pages/Page02?OpenDocument&Start=1&Count=30&Expand=5.3
United Nations Development Programme, 'Outcome-Level Evaluation: A companion guide to the handbook on planning monitoring and evaluating for development results for programme units and evaluators', UNDP, New York, 2011	web.undp.org/evaluation/documents/guidance/UNDP_Guidance_on_Outcome-Level%20_Evaluation_2011.pdf
United Nations Population Fund and United Nations Children's Fund, 'Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting (FGM/C): Accelerating change – 2008–2012 – vol. I', UNFPA and UNICEF, New York, September 2013	www.unicef.org/evaluation/files/FGM-report_11_14_2013_Vol-I.pdf
Willard, Alice, 'Using Indicator Performance Tracking Tables', Catholic Relief Services, American Red Cross and United States Agency for International Development, 2008	www.crsprogramquality.org/storage/pubs/me/MEshortcut_IPTT.pdf





Module 4: How to Manage an Evaluation for Child Protection

WHEN to use this module:

- When **planning, managing and using** an evaluation of a child protection programme or a programme with a child protection component

WHO should use this module:

- Primarily **child protection staff** in country offices for managing and supporting evaluations
- **M&E specialists** at the country office and regional level in their capacity to technically support child protection staff

OVERVIEW

STEP 1: Develop the Terms of Reference

STEP 2: Recruit an evaluation team

STEP 3: Manage the inception phase

STEP 4: Provide support and control quality

STEP 5: Disseminate and ensure use of the evaluation

DEVELOP TERMS OF REFERENCE (*STEP 1*)

Evaluation also plays a key role in demonstrating how and to what degree the goals of UNICEF's Strategic Plan 2018-2021 as well as of the 2030 Agenda for Sustainable Development are being achieved for the benefit of children worldwide. In this regard, evaluation is a core component of the Results-Based Management cycle, through which to improve the organization's achievement of results.

During the planning phase of a child protection programme, a decision should already have been made about whether to evaluate a child protection programme or parts of it, the type of evaluation and the budget. Proposals for programmes anticipating evaluations should hence already have a budget line on conducting an evaluation. Availability of baseline data is also critical from an evaluability perspective.

Within the first stages of managing evaluations, UNICEF's Strategic Plan 2018-2021 can serve as a starting point to develop more meaningful Terms of Reference for evaluations. **Evaluation questions** can include confirming, rejecting or revising the underlying **theories of change** and assessing output and **outcome statements** used in the Strategic Plan, and require an in-depth analysis of Strategic Plan **indicator data**, including the baseline data.



REVIEWING THE THEORY OF CHANGE

Evaluation questions can focus on the overall **logical coherence** of a theory of change, the validity of underlying **assumptions** or empirical evidence for the **causal relations**. Taking into account the overall UNICEF Strategic Plan theory of change, examples of evaluation questions are:

- “Has a strengthened child protection system for prevention and response services to address violence in country X led to better protection for the most vulnerable girls and boys?” (*causal link between output and outcome*)
- “Have UNICEF’s change strategies led to an improved system in country Y to treat children in accordance with international standards?” (*causal link between change strategy and output*)
- “What evidence is there that social norm change strategies have had an impact on child protection in country Z?” (*assumption*)

ASSESSING OUTCOME AND OUTPUT STATEMENTS

Broad evaluation questions can refer to the overall **output and outcome** statements used in the Strategic Plan such as:

- Compared to 2016, are the most vulnerable girls and boys in country X now better protected from all forms of violence, exploitation, abuse and harmful practices? To what extent is this change attributable to UNICEF’s support? (*Strategic Plan outcome statement*)
- Compared to 2017, does country Y now an improved system to protect children that come in contact with the law? To what extent is this change attributable to UNICEF’s support? (*Strategic Plan output 3*)

RESOURCES

- ***Theory of Change Paper***, UNICEF Strategic Plan, 2018–2021, Executive Board, Second regular session 2017, 12-15 September 2017, UNICEF/2017/EB/11, https://www.unicef.org/about/execboard/files/2017-EB11-Theory_of_Change-2017.07.19-EN.pdf

ANALYZING INDICATOR DATA

In examining the impact and effectiveness of UNICEF child protection programmes, it is necessary to carry out an analysis of baseline, target and actual figures for indicators in the results framework or monitoring plan developed during the planning stage.

Several indicators used in the Strategic Plan 2018-2021 are complex aggregations from multiple sources or rely on potentially subjective judgements. Evaluations can be used for a **detailed review of indicator data** and/or **confirm calculations and judgements**. This can help Country Offices by providing **new insights** and/or more **credibility** through external, independent analyses of data. For example:

- A Country Office reports that country X has “a quality assurance system in place for social service work” (SP indicator 3.a.1.), scoring 15 out of 16 points on the indicator worksheet. It uses an external evaluation to collect detailed quantitative and qualitative evidence to confirm or revise this judgement. This provides the Country Office with comprehensive evidence and more credibility to back up this rating.
- UNICEF in country Y assumed that 30% of “girls and boys who have experienced violence reached by health, social work or justice/law enforcement services” (SP indicator 3.3.b.) are receiving multiple services. It adjusts the aggregated data for this indicator by a factor of 0.7. During an upcoming evaluation, the Country Office includes an additional evaluation question to confirm or revise this assumption.



04

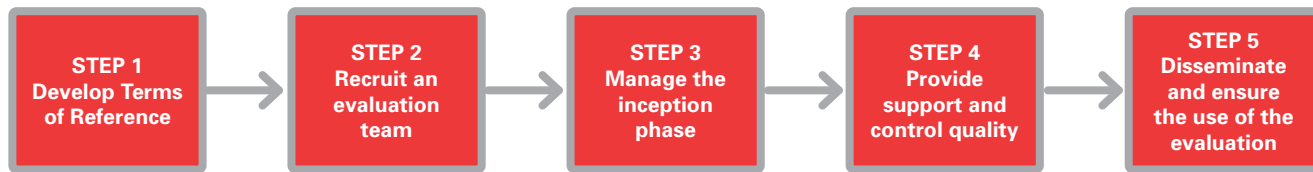
Module 4: OVERVIEW

During the *planning* phase of a child protection programme, a decision should already have been made about *whether* to evaluate a child protection programme or parts of it, the *type* of evaluation and the *budget*. All planned child protection evaluations should have been included in the Integrated Monitoring and Evaluation Plan (IMEP). If this has *not* been done at the planning stage, these decisions need to be made as soon as possible. For details about planning evaluations, see [Module 2, STEP 5](#).

Based on the decisions made at the planning stage of a child protection programme, we typically go through **five steps** in managing an evaluation:

- Develop the **Terms of Reference** for the evaluation (define the scope, evaluation criteria and evaluation questions)
- **Recruit** an external evaluation team
- Manage the **inception phase** (define evaluation methods, ensure appropriate sampling, design the evaluation matrix, take into account ethical considerations)
- Provide **support** and control the quality (support the evaluation team, ensure the **quality** of evaluation findings)
- **Disseminate** and ensure the **use** of the evaluation (share findings internally and externally, ensure use, monitor dissemination and use)

FIGURE 14: Five steps in managing an evaluation



GENERAL RESOURCES FOR MANAGING EVALUATIONS

- *Revised Evaluation Policy of UNICEF*, UNICEF, New York, April 2013.
- *UNICEF Programme, Policy and Procedure e-Manual, Section 5.4: Evaluation*, UNICEF, 2011
- *UNICEF Programme, Policy and Procedure e-Manual, Section 5.5: Evaluation in Humanitarian Situations*, UNICEF, 2011
- General **guidance and resources** on managing an evaluation can be found in *Evaluation 'Step-By-Step'* on the evaluation site of UNICEF's intranet.
- *How to Design and Manage Equity-Focused Evaluations*, UNICEF, 2011, pp. 90–92.
- *Impact Evaluation in United Nations Agency Evaluation Systems: Guidance on selection, planning and management*, United Nations Evaluation Group, 2013.
- *UNEG Handbook for Conducting Evaluations of Normative Work in the United Nations System*, United Nations Evaluation Group, November 2013.
- *Toolkit on Evaluation*, UNICEF Egypt, 2008.
- *Evaluation Handbook*, Save the Children, 2012.
- *Better Evaluation Rainbow Framework*, BetterEvaluation.

Especially for complex and hidden issues related to child protection, the quality of an evaluation can often be dramatically enhanced by conducting an **evaluability assessment** *prior* to an evaluation. An evaluability assessment is an exercise that helps to identify whether an intervention **can** be evaluated, and whether an evaluation is **justified** and likely to provide **useful** information. In addition, its purpose is also to **prepare** the intervention to ensure that necessary conditions for an evaluation are in place.

An evaluability assessment generally looks at three areas: (a) the **design** of the child protection programme, (b) the availability of **information** for an evaluation, and (c) the conduciveness of the **context**.

A **reference group** is highly recommended to guide the evaluation process. Key partners and stakeholders should play an integral part of the evaluation process from the outset. Where an adequate structure already exists (e.g., a programme steering group, a programme board, United Nations, donor or government thematic group), these groups can take on the function of an evaluation reference group. If such a structure does not exist, a mapping exercise should be carried out to identify key stakeholders for a particular evaluation. In emergencies, a formal functional structure is unlikely to exist. When creating one under such circumstances, it is important to ensure representation is balanced, so that one particular group of people will not be dominant in the structure, which can heighten existing tensions among different groups of people or individuals.¹⁰²

¹⁰² Based on United Nations Development Programme, 'Handbook on Planning, Monitoring and Evaluating for Development Results', UNDP, New York, 2009.



TABLE 26: AREAS AND KEY QUESTIONS FOR AN EVALUABILITY ASSESSMENT

Evaluability parameters	Key questions to conduct an evaluability assessment
Programme design	Does the child protection programme clearly define the problem that it aims to change?
	Has the beneficiary population of the programme been determined?
	Does the programme have clear theory of change/ logic model?
	Is the results framework of the programme coherently articulated? Do the outputs, outcomes and impact follow results chain logic?
	Are the outcomes and impact clear and realistic? Are they measurable (quantitatively or qualitatively)? Do they respond to the needs identified?
	Do proposed programme activities lead to outcomes and the impact?
Availability of information	Does the programme have capacity to provide sufficient data for evaluation?
	Does the programme have SMART indicators on key areas of intervention?
	Does the baseline information exist?
	Does the programme have a monitoring system to gather and systematize the information with defined responsibilities, sources and periodicity?
	What are the likely costs of such data collection and analysis (dollar costs in terms of the time of evaluation staff, programme managers and staff, and partners)?
	What kind of information do the key stakeholders request?
Conduciveness of the context	Is the context conducive to conduct the evaluation, both external and internal to the programme, including implications for stakeholders?
	Are there resources available to undertake the evaluation such as trained staff, financial resources, equipment?
	Do evaluation capacities and expertise exist to undertake the evaluation from a gender equality and human rights perspectives?

Source: UN Women, 'Guidance Note on Carrying Out an Evaluability Assessment', UN Women, New York, December 2009.

GENERAL RESOURCES FOR MANAGING EVALUATIONS

- *Glossary of Key Terms in Evaluation and Results Based Management*, OECD, 2004.
- UNICEF's **Evaluation Database** contains most evaluations, studies and surveys related to child protection; see UNICEF Evaluation Database, at <icon.unicef.org/apps02/cop/edb>.

TOOL

- A tool to determine the **evaluability of the equity dimension** of an intervention can be found in *How to Design and Manage Equity-Focused Evaluations*, UNICEF, 2011, pp.21–25.

EXAMPLES

- *Limited Program Review and Evaluability Assessment: UNICEF post tsunami recovery response*, UNICEF, 2008.
- *Programme Review and Evaluability Study (PRES): UNICEF's education in emergencies & post-crisis transition (EEPCT) programme*, UNICEF and University of York's Post-war Reconstruction and Development Unit, 2010.

Module 4, STEP 1: Develop the Terms of Reference

Developing the Terms of Reference is the **first step in managing an evaluation**. It includes three tasks: defining the **scope** of the evaluation, the evaluation **criteria** and the evaluation **questions**. This information is subsequently put together when drafting the **Terms of Reference** for the evaluation.¹⁰³

SCOPING THE EVALUATION

The scope of the evaluation is what the evaluation **will and will not cover**. The scope of an evaluation has to be clearly defined in terms of:

- **Subject** of the evaluation (e.g., a project, programme, a specific child protection policy, a specific child protection strategy)
- **Time period** the evaluation covers (e.g., from the start of a child protection programme until the present, the current programme and the previous pilot programme, a time frame in the past)
- **Geographic coverage** of the evaluation (e.g., a country, regional, specific areas in a country)

A **clearly defined** and **limited** scope allows more in-depth analysis and a better understanding of the phenomena. It also ensures that the **commissioning body** and the **evaluation team** understand expectations and priorities for the evaluation. It avoids wasting time and resources on issues of secondary interest. Examples of evaluations with a different scope are: an evaluation of UNICEF programmes to protect children in emergencies since 2000, an evaluation of the Community Based Orphan Support Programme in three provinces since 2005 and an evaluation of the national child protection policy since 2009.

¹⁰³ This chapter is largely based on EuropeAid, 'Scope of the Evaluation', <ec.europa.eu/europeaid/evaluation/methodology/methods/mth_sco_en.htm>.



EVALUATION CRITERIA

Evaluation criteria provide an overarching framework for an evaluation. They help **develop possible evaluation questions** and **cluster** evaluation questions addressing similar issues.

The United Nations commonly uses and adapts the evaluation criteria from the Organisation for Economic Co-operation and Development's Development Assistance Committee (OECD/DAC) to evaluate its interventions. These are **relevance, efficiency, effectiveness, impact** and **sustainability**. Taken together, these criteria cover many critical areas of a child protection intervention. However, not every evaluation should cover all evaluation criteria. In fact, evaluations designed to cover all criteria risk being too broad and superficial.

For child protection programmes in humanitarian crises, four additional criteria can be added: **coverage, coordination, connectedness, coherence** and **protection**. Evaluations of humanitarian interventions¹⁰⁴ can also focus on performance against **accountability standards** like the Sphere Project's Humanitarian Charter and Minimum Standards in Humanitarian Response¹⁰⁵ and the Humanitarian Accountability Partnership (HAPs) 2007 Standard in Humanitarian Accountability and Quality Management.¹⁰⁶

EVALUATION QUESTIONS

A limited set of clear evaluation questions are the **underlying building blocks** of any solid evaluation. They reflect *why* we conduct an evaluation and *what* we want to find out about the progress and success of the child protection programme. Defining the evaluation questions is arguably the most important step in preparing an evaluation. The evaluation method, budget, timing, process, sampling framework, evaluation team, etc. all depend on our evaluation questions.

¹⁰⁴ See <www.hapinternational.org>.

¹⁰⁵ See <www.sphereproject.org>.

¹⁰⁶ O'Neill, Kathryn, 'Evaluation Handbook', Save the Children, London, 2012.

TOOL

- **Developing Evaluation Questions – Worksheet 5: Prioritize and eliminate questions**, in *User-Friendly Handbook for Mixed Method Evaluations*, National Science Foundation, 1997.

RESOURCES

- A description of the standard OECD-DAC evaluation criteria that have been adopted by UNICEF can be found in **DAC Criteria for Evaluating Development Assistance**.
- Guidance on how to adapt the OECD-DAC criteria to better capture the **equity dimension** (including a list of potential questions related to equity) can be found in **How to Design and Manage Equity-Focused Evaluations**, UNICEF, 2011, pp. 35–38.
- For guidance on how to adjust the evaluation criteria to **humanitarian** interventions see **Evaluating Humanitarian Action Using the OECD-DAC Criteria: An ANALP guide for humanitarian agencies**, Overseas Development Institute, 2006.

RESOURCES

- General guidance on **how to design evaluation questions** can be found at *IPDET Handbook, Module 5: Evaluation questions*, The World Bank, 2007.
- A collection of **resources, tools and examples on evaluation question** can be found in *Specify the Key Evaluation Questions*, BetterEvaluation.
- Guidance on a **participatory approach** to evaluation questions can be found in *A Practical Guide for Engaging Stakeholders in Developing Evaluation Questions*, Robert Wood Johnson Foundation, 2009.

EXAMPLES

- Fifteen evaluation questions clustered by evaluation criteria are included in *Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting (FGM/C): Accelerating Change (2008–2012)* – vol. I – Final inception report.
- More general **common evaluation questions** for Save the Children programmes can be found in *Evaluation Handbook*, Save the Children, 2012, pp. 14–15.

Evaluation questions typically refer to our **evaluation criteria** (see above). Good evaluation questions are **short, clear, specific** and **answerable** with the available resources, funds and expertise. We should aim to limit the number of evaluation questions to **between 5 and 7** – with an absolute maximum of 10.¹⁰⁷ Otherwise, the evaluation runs the risk of becoming unrealistic in scope and potentially superficial in its findings.

The process of defining, prioritizing and selecting evaluation questions should be **participatory**. In fact, giving beneficiaries and implementing partners the opportunity to jointly decide evaluation questions is a powerful incentive to draw them into the evaluation process.

TABLE 27: KEY EVALUATION QUESTIONS RELATED TO PSYCHOSOCIAL PROGRAMMING BASED ON OECD/DAC EVALUATION CRITERIA

General evaluation criteria	Key questions in context of psychosocial programming
RELEVANCE	<ul style="list-style-type: none"> Did the programme articulate objectives related to changes in children's well-being and lives, and that of their family and community? Were clear needs defined with respect to required 'levels' of psychosocial support? Were potential beneficiaries involved in developing programming? Is programme response relevant to identified needs?
EFFICIENCY EFFECTIVENESS	<ul style="list-style-type: none"> Have inputs resulted in the outputs targeted? How did costs compare to other programmes targeting similar outputs? Have stated programme outcomes been achieved? What difference has come about for beneficiaries in terms of skills and knowledge, emotional well-being and social well-being? What factors contributed to success or failure with regard to targeted changes?
IMPACT SUSTAINABILITY	<ul style="list-style-type: none"> Has the central goal of the project – the needs that provided the rationale for intervention – been met? What lasting changes – attributable to programming – can be identified in the lives of individuals, families, communities and the broader environment? Did any negative changes result from programming?

¹⁰⁷ See 'Evaluation Questions' on EUROPA website for similar guidance on the number of evaluation questions'.



	<ul style="list-style-type: none"> ■ What new capacities within services or communities have been established or restored? ■ Are these capacities being actively used in the psychosocial support and development of children? ■ Have root causes (such as attitudes to children) been impacted?
COVERAGE	<ul style="list-style-type: none"> ■ Has programming reached all geographical areas targeted? ■ Have potentially vulnerable or marginalized children and communities been reached? ■ Have the needs and capacities of different age groups been appropriately addressed?
COORDINATION	<ul style="list-style-type: none"> ■ Have agencies worked well together towards the common goal of improved psychosocial well-being among children?
COHERENCE	<ul style="list-style-type: none"> ■ Has work been consistent with the IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings?
PROTECTION	<ul style="list-style-type: none"> ■ Does the project contribute to protecting children by strengthening child protection mechanisms such as legislation, services, community norms, etc.?

Source: Ager, Alastair, et al., '[Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises](#)', United Nations Children's Fund, New York, 2011.

DRAFTING TERMS OF REFERENCE

In the Terms of Reference, all our previous work on evaluation scope, criteria and questions comes together. There is a clear link between good-quality Terms of Reference and a focused, defensible and ultimately useful evaluation. Spending time on detailed and concrete Terms of Reference pays off later in the process.

Useful and methodologically sound evaluations are expensive. With resources typically limited for many child protection programmes, it is important to make a **tight budget go the furthest it can**. Some questions to consider to reduce expenditure are:¹⁰⁸

- Can we mobilize additional resources from **partners** or special funding mechanisms like the **Children & Violence Evaluation Challenge Fund**? (See box on next page.)

¹⁰⁸ Based on Bamberger, John Michael, Jim Rugh and Linda Mabry, *RealWorld Evaluation: Working under budget, time, data, and political constraints*, Sage Publications, Calif., 2006.

TEMPLATE

- Generic **Terms of Reference** for evaluations related to children can be found in the **Evaluation Handbook**, Save the Children, 2012, p. 67.

EXAMPLES

- For an example of **complete and detailed Terms of Reference** see *Protecting Children from Violence: A comprehensive evaluation of UNICEF's strategies and programme performance*, July 2013, or *Terms of Reference for a Multi-Country Evaluation of the Impact of Juvenile Justice System Reforms on Children in Conflict with the Law* (2006–2012), draft, UNICEF, 2013.
- For an example of Terms of Reference in a **humanitarian context** with clear evaluation questions and a mixed method approach, see *Impact Evaluation of Dadaab Child Protection Program*, Save the Children, 2013.

TOOLS

- A **checklist** for UNICEF Terms of Reference can be found in the *UNICEF-Adapted UNEG Quality Checklist for Evaluation TORs*, UNICEF, 2010.

- Can we conduct an evaluation **jointly** with one or more partners? Can we partner (and share costs) with **academia**?
- Can we use a simpler and cheaper evaluation **design**? Can we reduce the number of evaluation **questions**?
- Do we really need to collect **all** of this information?
- Has someone **already collected** some of the information that we need?
- Can we **reduce** the number of interviews, observations, cases, and so on without sacrificing the necessary precision?
- Is there a **less expensive** way to collect the information?

Finally, the draft Terms of Reference is sent to the Regional Office for review, and once it is finalized, the M&E specialists present it to the country office Evaluation Committee for final approval.¹⁰⁹

Children and Violence Evaluation Challenge Fund

The Children and Violence Evaluation Challenge Fund is an initiative aimed at reducing the prevalence of violence against children by **funding quality evaluations of violence prevention and child protection interventions in low- and middle-income countries**.

These evaluations are expected to generate a solid **evidence base** that will be used to improve child protection programming and policies, thus ultimately contributing to prevent and reduce violence in the lives of children.

Source: <www.evaluationchallenge.org>.

¹⁰⁹ United Nations Children's Fund, 'Programme Policy and Procedure e-Manual, Section 5.6: Quality in Evaluation Design and Implementation', UNICEF, New York, 2012.



Module 4, STEP 2: Recruit an evaluation team

The selection and recruitment of a suitable evaluation team is crucial in ensuring the quality and credibility of the evaluation.¹¹⁰ In general, a good evaluation team has combined competencies in four areas:

■ Evaluation expertise:

- Conceptual and methodological skills required for successful evaluation research
- Communicative skills necessary for creating rapport with stakeholders, facilitating stakeholder participation and effectively presenting evaluation results to diverse audiences
- Organizational skills necessary for planning and managing an often complex evaluation research process involving many people

■ Child protection expertise:

- This is always important, although more so in some evaluations than others. For example, in an evaluation of an intervention to encourage police officers to alter attitude and behaviour towards marginalized populations, some knowledge of factors determining police attitudes and behaviour would be required.

■ Local knowledge:

- Good understanding of local political, economic, social and cultural context
- Language skills for interacting with the beneficiaries and partners

■ Independence and impartiality:

- Ability to determine the credibility of the evaluation
- Ability to determine the accuracy of findings
- Ability to determine if the evaluation is perceived as culturally or ideologically biased or too closely involved with the client or other stakeholders

A single evaluator often cannot be competent in all four areas. That is why a **combination of two or three external evaluators** is usually the best option for most evaluations. For example, a female professional evaluator can work together with a male child protection specialist.

110 Molund, Stefan, and Göran Schill, 'Looking Back, Moving Forward: SIDA evaluation manual', Swedish International Development Cooperation Agency, Stockholm, 2007, pp. 78–79.

RESOURCE

- **Selecting evaluators: Individuals versus firms**, Annex 5, *Handbook for Planning, Monitoring and Evaluating for Development Results*, United Nations Development Programme, 2009.

The **composition of the team** depends on the evaluation. For example, impact evaluations are likely to require different evaluator roles than an action-oriented mid-term evaluation of a child protection programme. Each one will require different methodological expertise as well as degrees of 'distance' between the evaluator and the subject. The success of the evaluation depends in part on the team composition and on the ability of team members to work together.

Module 4, STEP 3: Manage the inception phase

An evaluation starts with the inception phase. This phase sets out the detailed framework for the evaluation and needs to be carefully and closely managed by the evaluation manager. During the inception phase, the evaluation team **verifies the theory of change** of the child protection programme and defines the **evaluation methods** and the **evaluation matrix**. The results of the inception phase are usually put together in an **inception report**. The inception process, the verified theory of change, the evaluation methods and the matrix need to be broadly agreed upon by the evaluation team, the evaluation manager and the evaluation reference group.

VERIFY THE THEORIES OF CHANGE

The theories of change provide the **starting point** for an evaluation. Clear, precise and causally connected result statements are required to make judgements about efficiency, effectiveness, sustainability and impact. However, child protection staff and evaluators will frequently be required to manage evaluations where:

- There is **no explicit** theory of change
- An explicit theory of change exists, but was developed by external consultants with little consultation with stakeholders and **not used**
- The theories of change are **broken** or **incomplete**



- The theories of change do not address **equity** issues

In these cases, child protection staff must ‘**reconstruct**’ the implicit theories of change prior to an evaluation taking place. There are at least three possible approaches to doing so:¹¹¹

- **Strategic approach:**

Child protection staff conduct group discussions with key stakeholders to synthesize (a) what they think the programme intended to achieve, and (b) how they think the programme operates or should operate

- **Implicit approach:**

External specialists define the implicit theoretical model based on observations of what the programme actually does; this may differ from what actors *think* it does (see above)

- **Forward or retrospective reasoning:**

External facilitators help planners and stakeholders to reconstruct the rationale behind the programme, either through forward reasoning (from outputs to outcomes and impact) or backward reasoning (from impact to outcome and outputs)

EXAMPLES OF RECONSTRUCTED THEORIES OF CHANGE

- ***Multi-Country Evaluation of the Impact of Juvenile Justice System Reforms on Children in Conflict with the Law (2006–2012), Terms of Reference***, draft, pp. 3–4. UNICEF, 2013.
- ***Child’s Right to a Family Environment: Multi-country evaluation of results achieved through child care system reform 2005–2012, Terms of Reference***, UNICEF, 2013, pp. 2–9.
- ***External Evaluation of the United Nations Pacific Region’s Advocacy to Protect Children and the Most Vulnerable during the Global Economic Crisis***, UNICEF, 2011, pp. 11–13.

Mixed Evaluation Method for UNICEF’s Child Protection Response to the 2004 Tsunami in Indonesia

The evaluation, which was commissioned by UNICEF’s Child Protection Department, was aimed at determining the **impact of UNICEF’s response to the tsunami, within the child protection sector**.

It followed the evolution of the **three child protection work strands of the programme in Aceh** (children without family care, children without psychosocial support, and victims of exploitation and abuse).

The evaluation employed a **sequential mixed methods approach** to combine comprehensive coverage with in-depth analysis. It focused on three districts to enable a comparison of results between tsunami and (mainly) conflict-affected districts, which allowed for comparisons between those areas with a strong operational UNICEF presence and those areas with less. The evaluation design also compared different interventions with one another, or where a similar programme did not exist, with groups of children who did not receive the intervention.

For more, see <www.unicef.org/evaldatabase/index_59604.html>.

¹¹¹ Based on Bamberger, Michael, and Marco Segone, ‘*How to Design and Manage Equity-Focused Evaluations*’, United Nations Children’s Fund, New York, 2011, pp. 90–92.

DEFINE METHODS

Based on the evaluation questions developed in STEP 1, we need to define **how the data to answer the questions will be collected**. Generally, this can be done using one or a combination of **quantitative, qualitative, mixed and participatory methods**.¹¹²

A meta-evaluation of UNICEF-supported child protection evaluations calls for more **methodological rigour** when evaluating child protection programmes.¹¹³ Three methodological weaknesses are common in child protection evaluations: the scarcity of **longitudinal** data,¹¹⁴ an alarming over-reliance on **key informant interviews** and an underemphasis on **sampling and scale**.¹¹⁵

Given the often complex and multi-sectoral nature of child protection interventions, the preferred option for child protection evaluations is a **mixture of qualitative and quantitative methods**, while ensuring the inclusion of different stakeholders, including the worst off groups. Mixed methods offer a wide variety of perspectives and therefore a more **reliable** picture of reality by combining two perspectives:

- **Quantitative** methods permit unbiased generalization to the total population, provide precise estimates of the distribution of sample characteristics and breakdown into subgroups, and permit testing for statistically significant differences between groups.
- **Qualitative** methods describe in depth the lived experiences of individual subjects, groups or communities, examine complex relationships, and explain how programmes and participants are affected by the context in which the programme operates.

Mixing quantitative and qualitative methods involves much more than, for instance, commissioning a few case studies of focus groups to complement a quantitative sample survey. There are **three main types** of mixed method design: **sequential mixed method** (quantitative method followed by a qualitative method or

¹¹² Largely based on Bamberger, Michael, and Marco Segone, 'How to Design and Manage Equity-Focused Evaluations', United Nations Children's Fund, New York, 2011..

¹¹³ United Nations Children's Fund, 'UNICEF Child Protection Meta-Evaluation', UNICEF, New York, May 2008, p. 142.

¹¹⁴ Some 64 per cent of child protection evaluation reports from 2002 to 2007 have no longitudinal data.

¹¹⁵ About 80 per cent of child protection evaluation reports from 2002 to 2007 lack a sampling plan and most are quite small in reach.



vice versa), **parallel mixed method** (quantitative and qualitative components conducted at the same time), and **multi-level mixed method**, where an evaluation is conducted at multiple levels, as illustrated in the example below, with both quantitative and qualitative approaches being used at each level. Multi-level mixed method designs are particularly useful for child protection programmes which study the delivery of public services, where it is necessary to study both how the programme operates at each level and the interactions between levels. (Module 3, STEP 3, 'Interpreting qualitative data')

Depending on the child protection evaluation programme, the participation of children in a child protection evaluation can be advantageous for three reasons: (a) it is their right, (b) it leads to better evaluations, and (c) it can strengthen their resilience and well-being.¹¹⁶

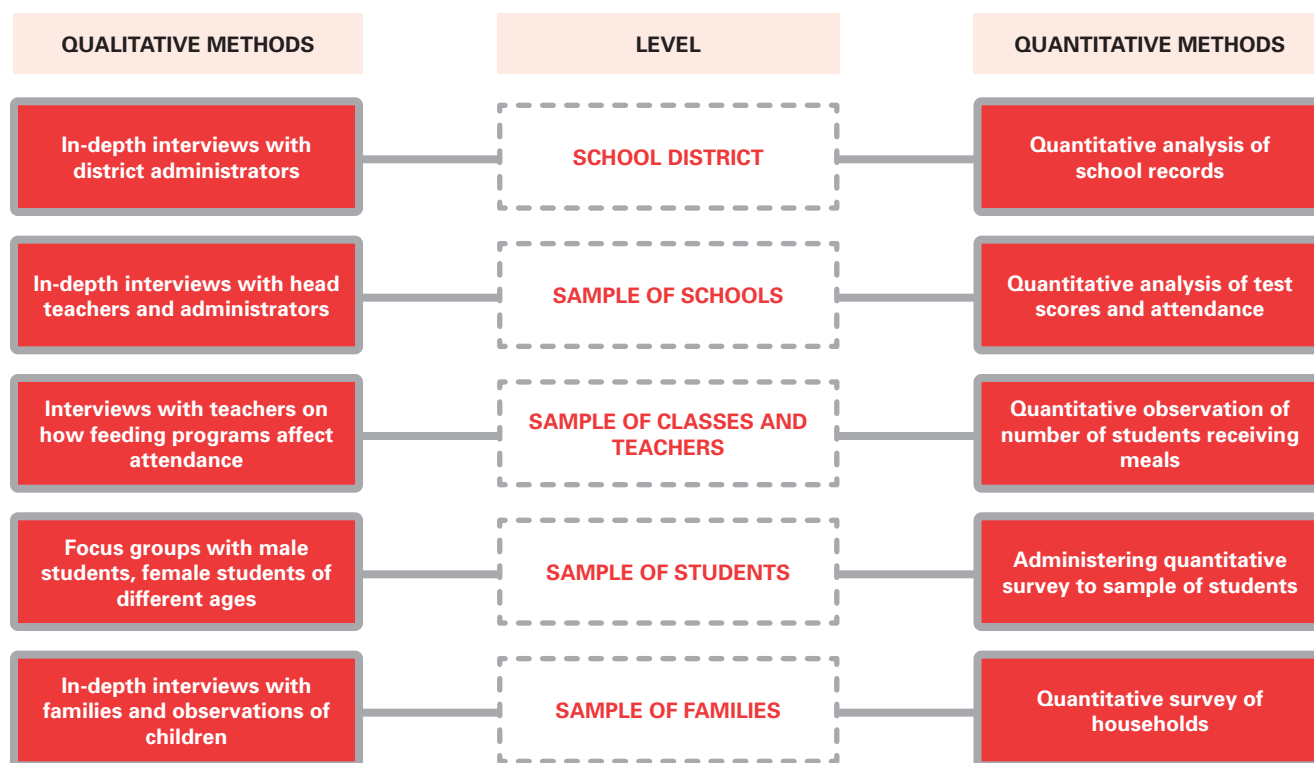
RESOURCE

- A general **introduction to mixed methods** can be found in **Guidance Note #3: Introduction to mixed methods in impact evaluation**, InterAction, 2012.

EXAMPLE

- Seventeen **examples** of mixed method evaluations, including from child protection, are described in **Annex 10: Case studies of MM evaluation designs with predominant QUANT, QUAL and balanced orientations**, InterAction.

FIGURE 15: Example of a multi-level mixed method design (effects of a school feeding programme)



Source: Adapted from Bamberger, Michael, 'Guidance Note #3: Introduction to mixed methods in impact evaluation', InterAction, Washington, D.C., August 2012, p. 14.

¹¹⁶ This and the following paragraphs are largely based on Ager, Alastair, et al., 'Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises', United Nations Children's Fund, New York, 2011, p. 74, and O'Neill, Kathryn, 'Evaluation Handbook', Save the Children, London, 2012.

ENGAGING CHILDREN IN PREPARATION FOR AN EVALUATION

Humuliza is an organization in the United Republic of Tanzania that works with orphaned children. The programme is centred on a children's organization run by the children themselves.

An impact evaluation was conducted and **children's quotes were used to help formulate indicators on well-being**. For example:

Survival knowledge (HIV/AIDS): "I know how I can take care of myself."

Income generation: "My capital for selling small fish has expanded."

Social support network: "I felt like I am the only orphan child. Now I know there are others." "I could not play before. Now I have many friends."

Stress: "My head was full of feelings before."

Confidence: "I can talk with confidence." "How to live even if life is difficult."

See Ager, Alastair, et al., 'Inter-Agency Guide to the Evaluation of Psychosocial Programming in Humanitarian Crises', United Nations Children's Fund, New York, 2011, p. 74.

RESOURCE

- An extensive **list of ideas** on how to involve children in evaluations can be found in 'Annex 7: How to involve children and young people in evaluations', in *Evaluation Handbook*, Save the Children, 2012, pp. 76–90.

Children and young people can participate in a child protection evaluation in a number of ways. While the kind of participation will depend on the context and the child protection programme, possible **entry points** would be the participation of children in roles such as:

- **Advisors** (commenting on relevance, scope, content of the evaluation, evaluation questions and the evaluation design)
- **Peer researchers** (helping to collect and analyse data)
- **Documenters** (noting their own and other children's views and reflections)
- **Active respondents** (using participatory tools and methods)
- **Reviewers** of the draft evaluation report
- **Change agents** (disseminating learning and following up on conclusions and recommendations)

If children or young people are participating in an evaluation, this has to involve their **informed consent**. In addition, the evaluation design has to probe if their involvement as participants, leaders or researchers puts them at immediate or longer term **risk** of any kind. Finally, there might be a need to **compensate** children or young people who participate in the evaluation.



AGREE ON THE SAMPLING PLAN

In addition to methods, the inception phase should also be used to **agree on the approach to sampling**. The credibility of evaluation evidence often depends greatly on the extent to which it succeeds in capturing a subset of the programme's **target population** and how it does this. An evaluation's **sampling plan** is understood as follows: Of the universe targeted for an intervention, sampling defines what portion of that universe can be tapped for research purposes to get a generally accurate picture of what is going on.

SAMPLING IN CHILD PROTECTION EVALUATIONS

A 2008 meta-evaluation of child protection evaluations concluded that evaluation reports provided **limited information on the relationships between target and sampled populations** on which their analyses are based. These information gaps raise doubts about the **value and credibility** of evaluation findings and whether an evaluation's **reach** was suited to the scale of the programme:

- Less than half the evaluation reports discuss the number of stakeholders **consulted for the evaluation** in relation to the number of stakeholders **targeted by the programme**.
- Of these reports, only 20 per cent describe the **rationale** for how the stakeholders consulted for the research were selected (i.e., sampling plan).

Source: United Nations Children's Fund, '[UNICEF Child Protection Meta-Evaluation](#)', UNICEF, New York, May 2008, p. 185.

For more information on sampling in evaluations, please refer to Taylor-Powell, Ellen, '[Sampling](#)', University of Wisconsin-Extension, Madison, Wisconsin, May 1998.

EVALUATION MATRIX

We are now ready to complete an evaluation matrix. The evaluation matrix brings together the evaluation **criteria** we want to use, the evaluation **questions** and how they relate to the evaluation criteria, and the **methods** and **data sources** used to answer the evaluation questions.

TABLE 28: EXAMPLE OF AN EVALUATION MATRIX (JOINT EVALUATION OF THE UNFPA-UNICEF JOINT PROGRAMME ON FEMALE GENITAL MUTILATION/CUTTING)

	Evaluation questions	Methods and data sources
RELEVANCE	<ul style="list-style-type: none"> How relevant and responsive has the joint programme been to national and community needs, priorities and commitments? How relevant and responsive has the joint programme been to the global and regional priorities and commitments of UNFPA and UNICEF? 	<ul style="list-style-type: none"> Community-level focus groups and key informant interviews (members of targeted communities, joint programme staff at headquarters, regional and country level, other relevant UNICEF and UNFPA staff, donor representatives including Steering Committee members) Document review (programme documents, KAP studies, baseline studies, community and country level situation analysis, capacity and needs assessments, national and global consultation reports, programme countries' government policies, strategies and planning documents, UNFPA/UNICEF policy and strategy documents, relevant literature on female genital mutilation/cutting (FGM/C) and approaches to its abandonment)
EFFECTIVENESS	<ul style="list-style-type: none"> To what extent has the programme contributed to the creation of sustainable favourable conditions and changes in social norms leading to the abandonment of FGM/C? To what extent has the programme contributed to strengthening the global movement towards abandonment of FGM/C in one generation? 	<ul style="list-style-type: none"> Document review (partners' reports on activity implementation, country-specific databases, relevant DHS and MICS data, KAP studies and other relevant studies at the community and country levels, relevant publications on the FGM/C abandonment context at the global and regional level, relevant evaluations) Community-level focus groups Observations at the community level Surveys, virtual focus groups and key informant interviews (<i>for details see above</i>)
EFFICIENCY	<ul style="list-style-type: none"> To what extent have the outputs of the joint programme been achieved or are likely to be achieved with the appropriate amount of resources (funds, expertise, time, procedures, rules and regulations, administrative costs, etc.)? 	<ul style="list-style-type: none"> Document review (narrative and financial country annual reports, annual work plans, allocation memos, Steering Committee meeting minutes, other financial documents of the joint programme at the global and country levels) Key informant interviews (<i>for details see above</i>)
SUSTAINABILITY	<ul style="list-style-type: none"> To what extent are the benefits and achievements of the joint programme likely to continue after the programme has ended due to factors such as national ownership, scalability and use of partnerships for sustainability? 	<ul style="list-style-type: none"> Virtual focus groups and key informant interviews (<i>for details see above</i>) Document review
COORDINATION	<ul style="list-style-type: none"> How efficient and effective was the coordination between UNFPA and UNICEF at the global and country levels in view of achieving joint programme results? 	<ul style="list-style-type: none"> Survey of UNFPA, UNICEF staff and partners Virtual focus groups and key informant interviews (<i>for details see above</i>) Records of observations during site visits at headquarters and in four countries Document review

Source: Adapted from United Nations Population Fund and United Nations Children's Fund, 'Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting (FGM/C): Accelerating change – 2008–2012 – vol. II – Annexes to the final inception report', UNFPA and UNICEF, New York, 2013.



Ideally, at least a *draft* evaluation matrix is put together by the child protection staff prior to the evaluation and already **included in the Terms of Reference**. This would ensure that the evaluation team has a clear understanding of what is expected from the evaluation. However, if an evaluation matrix has not been put together at the planning stage, it should be agreed upon by all stakeholders and included in an inception report by the evaluation team.

THE INCEPTION REPORT

Especially for more complex evaluations typical for child protection, an inception report is highly recommended. An **inception report** will usually be produced by the evaluators in the early stages of the evaluation, before the start of interviews and surveys. Such a report aims to (a) provide an overview of all key **components** of the evaluation to ensure that the scope, design, methodology, approach and timeline are on track; (b) identify **issues** in relation to UNICEF's child protection programmes that will be further analysed during the evaluation; and (c) describe **progress** to date in implementing the evaluation and deviations from the Terms of Reference.

The inception report provides an opportunity for the evaluation managers, the reference group and the evaluation team to **clarify matters** such as resource requirements and deliverable schedules at an early stage of the evaluation exercise and ensure that the commissioning party, stakeholders and evaluators have a **common understanding** of how the evaluation will be conducted.

The inception report should include the **evaluation matrix**, a revised schedule of key **milestones, deliverables** and **responsibilities**, detailed **resource** requirements tied to evaluation activities, and **deliverables** detailed in the work plan. It can include draft copies of the data collection **tools and instruments, consent forms** and **ethics and safeguarding mechanisms**.

RESOURCE

- A more detailed **description and examples of evaluation matrices** can be found in *Outcome-Level Evaluation: A companion guide to the handbook on planning, monitoring and evaluating for development results for programme units and evaluators*, UNDP, 2011.

TOOL

- *Guidelines for Inception Reports*, United Nations Office on Drugs and Crime.

EXAMPLES

- *Evaluation of UNICEF's programmes to protect children in emergencies: Inception report*, UNICEF, 2012.
- *Protecting Children from Violence: A comprehensive evaluation of UNICEF's strategies and programme performance – Inception report*, Development Researchers' Network, 2014.
- *Inception report: UNFPA-UNICEF Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting (FGM/C): Accelerating change*, UNFPA and UNICEF.

ETHICAL CONSIDERATIONS FOR EVALUATIONS

While the participation of children in evaluations can be a powerful tool, it raises a number of **ethical questions**. The primary concern in all such activities must always be to protect the **best interests of the child**. Participants in an evaluation must be protected from the beginning of their involvement through to the data collection, the release of findings, and even beyond completion of the evaluation, with the responsible storage of records.

We need to **balance** the need to maximize children's participation with the need to minimize their exposure to harm. Careful **advance planning** is crucial. UNICEF staff and evaluators are responsible for thinking through all possible consequences, intentional and unintentional, of the information gathering activity and for anticipating the effect of the activity on the children, young people and their families. If appropriate safeguards cannot be put into place, the evaluation should not proceed. If there is any question about whether data collection could be harmful to children, we should only begin the activity if services are in place to address possible consequences.

Minimum ethical standards for child protection evaluations include:

- Providing children and guardians with the opportunity to give **informed consent** to their involvement in the evaluation and the **right to withdraw**
- Consultation with community members regarding **local acceptability** of the evaluation activity
- The existence of functional **referral systems** for the protection of children to respond to information and needs revealed by an evaluation activity
- **Do no harm**: Evaluation activities must avoid exacerbating disparities or discriminating between affected populations, and creating or exacerbating environmental degradation or conflict and insecurity among affected populations.



UNICEF should seek **ethical reviews from government national research ethics committees** where they exist.

- Country and regional offices are encouraged to **identify, use and/or consult** local and regional ethical review committees in universities or ministries (without payment for reviews)
- The use of ethical review committees is recommended without exception when research involves **primary data collection** and **child participation** and covers **sensitive topics** such as those often addressed in the health and child protection areas or in humanitarian settings.
- In the absence of ethical review committees in a country, **alternatives** should be sought either through the use of review bodies within partner organizations or by going beyond the country level and seeking such services at the regional or global levels.
- Country offices should also make provisions where possible for assessing the **capacity, effectiveness, independence and integrity** of existing local ethics review mechanisms, so as to explore opportunities for undertaking capacity-building initiatives, including in cases where there might be a lack of specialized child research knowledge.

It is common practice that in the country where UNICEF supports an evaluation or a related survey or research, protocols that include national ethics approvals must be in place. If an international research institution is involved, this institution also submits to its review board and the submissions must match. Doing this ensures full protection for all investigators and guarantees government involvement from the start.

In addition, an ethical review is an element that should support and encourage country offices to enhance **research quality**, including research that is publishable, thereby increasing the chances that the research will be used by others.

RESOURCES

- A brief summary of **responsibilities of a UNICEF evaluation manager** are included in *Children Participating in Research, Monitoring and Evaluation (M&E): Ethics and your responsibilities as a manager*, UNICEF, 2002.
- A list of **key resources** on ethics and standards for child participation can be found at *Child and youth participation resource guide*. See also *Ethical Research Involving Children*, UNICEF Office of Research, 2013. See also *Ethical Principles, Dilemmas and Risks in Collecting Data on Violence against Children: A review of existing literature*, Child Protection Monitoring and Evaluation Reference Group, 2012.
- More **detailed guidelines** are published in *Ethical Approaches to Gathering Information from Children and Adolescents in International Settings: Guidelines and resources*, Population Council, 2005.

Module 4, STEP 4: Provide support and control quality

Following the inception phase, the evaluation managers should provide **support** to the evaluation team while respecting their independence, and continuously **control the quality** of the evaluation process.

SUPPORTING THE EVALUATION TEAM

During the evaluation, child protection staff should extend all possible **support** to the evaluation team, but **without interfering** in their work.¹¹⁷ The success of an evaluation depends on the level of cooperation and support rendered by the commissioning unit to the evaluation team. Supporting the evaluation team includes:

- Providing the evaluation team with extensive **documentation and data** in a timely manner
- Extensively **briefing** evaluators on the purpose and scope of the evaluation and explaining expectations from UNICEF and its partners
- If asked by the evaluators, providing a **preliminary list and contact information of stakeholders** whom the consultants should meet (however, the evaluation consultants are ultimately responsible for identifying whom to meet)
- Organizing a forum to **introduce** the evaluation team to the partners and stakeholders to facilitate initial contact
- If asked by the evaluators, arranging **interviews, meetings and field visits**
- Coordinating **logistical and administrative** support to the evaluation team
- Ensuring the **security** of evaluators, stakeholders and accompanying staff, particularly in crisis situations

¹¹⁷ United Nations Development Programme, 'Handbook on Planning, Monitoring and Evaluating for Development Results', UNDP, New York, 2009.



There is a delicate **balance** between providing adequate support for the evaluation and maintaining the **independence** of the exercise. For example, while UNICEF can support the evaluation team by organizing meetings and visits, UNICEF or programme staff **should not participate** in them, as interviewees and participants might not feel comfortable to speak freely in their presence.

ENSURE THE QUALITY OF EVALUATION FINDINGS

Prior to finalizing the evaluation it is useful to **review the evaluation findings and conclusions** in order to establish the validity of the findings and to ensure that messages are clear and consistent. This is especially important for evaluations related to sensitive child protection issues or evaluations that are highly critical of the work of the government or partners.

To ensure the quality of evaluation findings at an early stage, we can make use of the **tools** for UNICEF's **Global Evaluation Reports Oversight System** (GEROS). This system rates evaluations on 22 variables such as the clarity of the description of stakeholder contributions, the sensitivity to evaluation ethics, concordance with rights-based approaches, transparency of methodology and depth of interpretation of findings.

It is good practice to **discuss** evaluation findings with stakeholders, including the worst off groups, before the preparation of the final evaluation draft. Some of the **other ways** to strengthen the quality of evaluation findings are:

- **Beneficiary exchange:** Seeking feedback from the beneficiaries by discussing preliminary evaluation findings with them
- **Expert review:** Reviewing the draft evaluation findings by using child protection experts, either individually or as a panel
- **Peer review:** Reviewing the evaluation findings by using peers from within UNICEF or outside the organization
- **External review:** Garnering feedback from external experts or anonymous reviewers

TOOLS

- To ensure the overall quality of an evaluation, we can use the **standard UNICEF tool for quality assessment** which is part of the Global Evaluation Reports Oversight System (GEROS), as a checklist.
- The **UNICEF-adapted UNEP Evaluation reports standards**, UNICEF, 2010, can be used as a checklist to control the quality of the draft and final evaluation report.

■ **Group critical reflection:** Facilitating a group stakeholder feedback session

■ **Individual critical reflection:** Asking particular individual stakeholders for independent feedback ¹¹⁸

Module 4, STEP 5: Disseminate and ensure use of the evaluation

Ultimately, every evaluation needs to be judged by its **usefulness** for intended users and its **actual use**. This is where many evaluations fall short, and why disseminating and making good use of evaluation results does need to be carefully **planned**. Depending on the type of evaluation, findings can be used for different purposes, including to:

- Support evidence-based **decision-making**
- Improve the **quality** of the child protection programme
- Encourage collection and dissemination of **good practices**
- Support the **learning process**
- Improve **management systems**
- Promote **participation**
- Develop staff and stakeholder **capacities**
- Promote **coordination** among all those involved¹¹⁹

¹¹⁸ Based on BetterEvaluation, 'Review Evaluation (do meta-evaluation)', Web page, BetterEvaluation.

¹¹⁹ O'Neill, Kathryn, 'Evaluation Handbook', Save the Children, London, 2012, p. 48.



SHARE FINDINGS INTERNALLY

The country office is primarily responsible for disseminating evaluation reports. Draft evaluation reports are sent to the UNICEF **Regional Office** for review. Once approved, the M&E specialist presents it to the country office Evaluation Committee for final approval. All evaluations and studies must subsequently be electronically submitted within two weeks from the date of completion to UNICEF's **Evaluation Database** at icon.unicef.org/apps02/cop/edb/.¹²⁰

Apart from a well-described and documented analytical report with full details, the country office can explore disseminating evaluation results internally with stakeholders in many other forms: briefings, workshops, newsletters, informal meetings, conferences and seminars, webinars, emails, films, audio, etc.

BEST CHILD PROTECTION EVALUATIONS

UNICEF uses the **Global Evaluation Reports Oversight System** to assess the quality of all evaluations.

Sixteen child protection evaluations were among the 65 best evaluations supported by UNICEF in 2013, including:

- [Mid-Term Evaluation of the 'Social Welfare and Child Care System Reform: Enhancing Social Inclusion', Republic of Montenegro](#)
- [Evaluation of the UNICEF Child Protection Monitoring and Response System \(CPMRS\) in Thailand](#)
- [Evaluation of UNICEF Programmes to Protect Children in Emergencies: South Sudan Country Case Study](#)
- [Sudan Case Study – Joint Evaluation of the UNFPA-UNICEF Joint Programme on](#)

[Female Genital Mutilation/Cutting \(FGM/C\)](#)

- [Evaluation of UNICEF Programmes to Protect Children in Emergencies: Pakistan Country Case Study](#)
- [Evaluation of UNICEF Programmes to Protect Children in Emergencies: Colombia Country Case Study](#)
- [Evaluation of FGMC Joint programme in Guinea Bissau](#)
- [Joint Evaluation of the UNFPA-UNICEF Joint Programme on Female Genital Mutilation/Cutting \(FGM/C\): Accelerating change \(Headquarters\)](#)
- [Evaluation of UNICEF Programmes to Protect Children in Emergencies \(CPiE\): Synthesis report \(Headquarters\)](#)

Further details as well as the best evaluations in previous years, which also include child protection, can be found at intranet.unicef.org/epp/evalsite.nsf/8e1d-dc662803020785256ede00706595/be1dbb58cce988ab-8525742b0068e52e?OpenDocument.

120 United Nations Children's Fund, 'Programme Policy and Procedure e-Manual, Section 5.6: Quality in Evaluation Design and Implementation', UNICEF, New York, 2012.

SHARE FINDINGS EXTERNALLY

There are many ways we can share child protection evaluation findings with an external audience. Some examples include:¹²¹

- Produce a **child-friendly version** of the report
- **Involve children** to help you reach other children and young people
- Translate the report, or key findings and lessons learned, into **local languages**
- Develop a brief with a concise summary in **plain language** or **graphically**, which can be widely circulated
- Publish an article for an **academic journal**
- Distribute **leaflets and posters** detailing the key findings
- Write a **press release** and/or give **media interviews**
- Organize meetings with **policymakers and politicians**
- Present findings as **drama, video, plays, poetry or photography**

In some cases, there may be reasons why we do **not** want to **publish** all evaluation findings. Doing so could compromise someone's safety and security, or might have a serious reputational risk for UNICEF or any of our partners, or indeed risk damaging our relationship with the local community, local or national government, or a particular donor. In these cases, evaluation managers should contact the Regional Office to explain the reasons and to inform them of the final decision.

¹²¹ Based on O'Neill, Kathryn, 'Evaluation Handbook', Save the Children, London, 2012, pp. 49–50.



ENSURE THE USE OF THE EVALUATION

All UNICEF-supported evaluations should be followed by written **management responses**. The purpose of the management response is to strengthen the use of evaluation by UNICEF management and, to the maximum extent possible, its partners. In the case of joint and country-led evaluations, the management response may either follow the UNICEF format or the one suggested by partners. A UNICEF **tracking system** documents management responses and follow-up actions to evaluations.

TOOLS

- *Evaluation Management Response and Tracking System*, UNICEF.
- **Using the results**, in *Evaluation Handbook*, Save the Children, 2012, p. 47–54.

INVOLVING CHILDREN IN DISSEMINATING YOUR FINDINGS

You could give children the chance to design and produce their own version of the evaluation report, thus making it more child friendly. They can communicate the findings back to their peer groups and others involved in the evaluation process. A good way of doing this is to ensure that you have an event planned for children and young people, with other stakeholders, as appropriate, where the children or young people most closely involved in the process can facilitate the review meeting.

Source: O'Neill, Kathryn, '*Evaluation Handbook*', Save the Children, London, 2012, p. 50.

MONITOR DISSEMINATION AND USE

The value of an evaluation is judged based on the extent to which it is disseminated, its content is absorbed by various audiences and its lessons and recommendations are applied for decision making to improve projects and programmes. It is important to **monitor feedback** and **measure the outcome of the dissemination strategy**.¹²² How far has the learning from the evaluation changed or influenced decision-making within the project or programme? Were the methods you used to disseminate the findings accessible for their intended audiences? Did each audience find the information useful and relevant to their needs? What could we do better next time?

¹²² O'Neill, Kathryn, '*Evaluation Handbook*', Save the Children, London, 2012, pp. 49–50.

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