

COMMUNICATION FOR DEVELOPMENT: AN EVALUATION OF UNICEF'S CAPACITY AND ACTION

SYNTHESIS REPORT

COMMUNICATION FOR DEVELOPMENT: AN EVALUATION OF UNICEF'S CAPACITY AND ACTION

SYNTHESIS REPORT

Communication for Development: An Evaluation of UNICEF's Capacity and Action – Synthesis Report

© United Nations Children's Fund, New York, 2016
United Nations Children's Fund
Three United Nations Plaza
New York, New York 10017

September 2016

The purpose of publishing evaluation reports produced by the UNICEF Evaluation Office is to fulfil a corporate commitment to transparency through the publication of all completed evaluations. The reports are designed to stimulate a free exchange of ideas among those interested in the topic and to assure those supporting the work of UNICEF that it rigorously examines its strategies, results, and overall effectiveness.

This report on "Communication for Development: An Evaluation of UNICEF's Capacity and Action" was prepared by independent consultants Rob Lloyd and Mary Myers of Itad Ltd. The document benefited from inputs by Greg Gleed, Birgitte Jallof, Ana Maria Claver and Stefanie Wallach. Krishna Belbase, Senior Evaluation Specialist, led and managed the overall evaluation process, supported by Tina Tordjman-Nebe, Evaluation Specialist in the EO.

The contents of the report do not necessarily reflect the policies or views of UNICEF. The views expressed in this report are those of the evaluators. The text has not been edited to official publication standards and UNICEF accepts no responsibility for error. The designations in this publication do not imply an opinion on the legal status of any country or territory, or of its authorities, or the delimitation of frontiers.

The copyright for this report is held by the United Nations Children's Fund. Permission is required to reprint/reproduce/photocopy or in any other way cite or quote from this report in written form. UNICEF has a formal permission policy that requires a written request to be submitted. For non-commercial uses, the permission will normally be granted free of charge. Please write to the Evaluation Office at the address below to initiate a permission request.

For further information, please contact:

Evaluation Office
United Nations Children's Fund
Three United Nations Plaza
New York, New York 10017
evalhelp@unicef.org

ACKNOWLEDGEMENTS

This evaluation is the result of the commitment, efforts and contribution of a large number of individuals and institutions. The evaluation was conducted by a team of experts recruited by Itad. Mary Myers and Rob Lloyd were the lead evaluators who were supported by Greg Gleed, Birgitte Jallof, Ana Maria Claver and Stefanie Wallach.

The evaluation was steered by an advisory group which had significant involvement throughout the evaluation process including review of several drafts of the inception report and the synthesis reports. The advisory group included Rafael Obregon, Chief, C4D Section, PD; Susana Sottoli, Associate Director, PD; Chander Badloe, Regional Adviser – WASH, EAPRO; Natalie Fol, Regional Advisor ADAP, ROSA; Waithira Gikonyo, Senior Learning Officer, OLDS, DHR; Sherine Guirguis, Senior C4D Specialist, Health Section, PD; Inoussa Kabore, Regional M&E Chief, WCARO; Neha Kapil, Chief C4D, Bangladesh CO; Kerida McDonald, C4D Advisor, C4D Section, PD, Francesca Moneti, Senior Advisor, Child Protection Section, PD; and Krishna Belbase and Tina Tordjman-Nebe from the Evaluation Office.

Three external peer reviewers also contributed to quality assurance. These were Michael Galway of the Gates Foundation, Sue Goldstein of Soul City Institute for Health & Development Communication in South Africa, and Mahesh Patel, former UNICEF staff.

We thank the many colleagues who gave freely of their time for this evaluation, including staff from UNICEF HQ, regional offices and country offices. We are particularly obliged to the UNICEF country offices and members of the National Evaluation Reference Groups in the five case study countries, Bangladesh, Ethiopia, Kyrgyzstan, Nigeria and Viet Nam, for giving their time and expertise to help improve the quality and utility of the evaluation (please see the respective case study reports on the UNICEF website for further details). In addition, we would like to thank UNICEF's partners on the ground who shared their experiences and contributed important insights to this evaluation.

PREFACE

Communication for Development (C4D) is central to all areas of UNICEF's work. Many of the targets in UNICEF's strategic plans are strongly dependent on behavioural and social change for their impact, scale and sustainability: In UNICEF's current Strategic Plan (2014-2017), C4D is positioned as part of an implementation strategy. C4D related components (knowledge, attitudes, practices, norms) are integrated into key result areas as demand side and enabling factors that every sectoral area is expected to consider in planning and implementation effort.

In recognition of the importance of C4D, UNICEF has, since 2009, made substantial investment in developing both its internal capacity and the capacity of national partners in designing and implementing C4D strategies. It has also taken significant steps towards better integrating C4D as a cross-cutting programme strategy into systems, policies, plans and practices at all levels of the organisation.

While good practices have been documented in fields as diverse as polio immunization, curbing maternal mortality, delaying child marriage for girls and use of ITCs for development, UNICEF has not previously evaluated its work on C4D from a comprehensive, global perspective. Therefore, the present global evaluation was commissioned to look back over the past 5 years of *capacity-building, integration, implementation and evaluability* of C4D initiatives in UNICEF. Based on evidence from 25 country cases, a survey to 237 participants of global C4D capacity development initiatives, document reviews and key informant interviews, the evaluation identifies what has worked, areas for improvement and lessons learnt.

The evaluation results will help position C4D for the 2018–21 Strategic Plan period where behavioural and social change will be at the core of UNICEF's efforts. The findings are expected to make a significant contribution to shaping UNICEF's agenda on C4D in terms of capacity strengthening, benchmarking for high-quality integration of C4D into country programmes, and fulfilling requirements for evaluation-readiness.

Communication processes are central to broader empowerment practices through which children, families and communities are able to arrive at their own understanding of issues, to consider and discuss ideas, to negotiate, and to engage in public debates. The empowerment-related role of C4D makes it an even more vital element in efforts aimed at achieving the 2030 Agenda and other development priorities. We hope that the knowledge and recommendations generated by this evaluation will contribute to further strengthening of UNICEF and its partner's actions to amplify voice, facilitate meaningful participation, and foster social change.

Colin M. Kirk
Director
Evaluation Office
UNICEF New York Headquarters

TABLE OF CONTENTS

ACKNOWLEDGEMENTS	ii
PREFACE	iii
ACRONYMS	viii
EXECUTIVE SUMMARY	1
RESUMEN EJECUTIVO	9
RÉSUMÉ ANALYTIQUE	18
1 Introduction	28
2 Purpose, objectives and scope of the evaluation	30
3 Background to the evaluation	32
3.1 What is C4D in UNICEF?	32
3.2 The evolution of C4D in UNICEF	33
3.3 Key initiatives to build UNICEF's C4D capacity	34
4 Methodology	37
4.1 Evaluation design	37
4.2 Data collection and analysis	41
4.3 Evaluation management	45
4.4 Ethics	45
4.5 Limitations	46
5 Assessment of C4D capacity development initiatives	48
5.1 Introduction	49
5.2 Relevance and appropriateness of C4D capacity development initiatives	49
5.3 Effectiveness of C4D capacity development initiatives	58
5.4 Efficiency of C4D capacity development initiatives	75
5.5 Sustainability of C4D capacity development initiatives	77
6 Integration of C4D at the country, regional and HQ levels	79
6.1 Introduction	80
6.2 Integration of C4D at the country level	81

6.3	Integration of C4D at the regional level	97
6.4	Integration of C4D at the HQ level	99
7	Implementation of C4D at the field level	103
7.1	Introduction	103
7.2	Performance against the global C4D benchmarks	104
7.3	Lessons from implementing C4D approaches	108
7.4	Findings and lessons learnt from UNICEF's efforts building the C4D capacity of counterparts	112
8	Evaluability of C4D	117
8.1	Introduction	117
8.2	Evaluability of CO-level results frameworks	118
8.3	Evaluability of C4D programmes/projects	120
9	Conclusions	123
10	Recommendations	129
ANNEXES		133
Annex 1: Terms of reference		133
Annex 2: Evaluation matrix		145
Annex 3: Methodology for selecting desk review and case study countries		155
Annex 4: List of references		159
Annex 5: Global capacity development survey		161
Annex 6: Desk review survey		171
Annex 7: List of stakeholders that were consulted		176
Annex 8: List of C4D technical guidance and assessment framework		182
Annex 9: C4D global benchmark assessment scale		184
Annex 10: Evaluability assessment scale		185

List of tables

Table 1: Key terms used in the report	29
Table 2: Areas of focus and objectives of the evaluation	30
Table 3: Core interventions used by UNICEF to build internal C4D capacity	34
Table 4: Evaluation questions	39
Table 5: Countries selected for desk review and country case studies	40
Table 6: Summary of data collection tools used and stakeholders / units engaged at global/HQ, regional and country level	40
Table 7: Basic details on the two global C4D training courses	52
Table 8: C4D training and workshops run by regional offices	56
Table 9: Issues where additional technical guidance is needed	57
Table 10: Number of COs that have articulated a clear strategy for guiding C4D action	80
Table 11: Extent to which COs have integrated C4D into core planning processes	82
Table 12: Extent to which CO's financial and human planning and resources meets the need of the country programme	85
Table 13: Extent to which COs have integrated C4D into monitoring and reporting	90
Table 14: Typology of ways in which the C4D function is structured across UNICEF country offices	91
Table 15: Strengths and challenges of the five ways in which C4D function can be structured	92
Table 16: UNICEF Regional staffing arrangements on C4D as of January 2016	98
Table 17: Key successes and challenges in C4D implementation in Ethiopia, Nigeria and Bangladesh	111
Table 18: Types of C4D capacity support provided by COs to external partners	113
Table 19: Indicators used to assess evaluability in principle and practice	117
Table 20: Evaluability of CO's results frameworks	118
Table 21: Evaluability of 10 field level C4D programmes	121

List of figures

Figure 1: UNICEF's four approaches to C4D	31
Figure 2: Timeline of the key moments in the evolution of C4D in UNICEF	33
Figure 3: UNICEF's theory of change for C4D capacity and action	37
Figure 4: Ratings for integration of four cross-cutting issues across 30 technical guidance documents	58
Figure 5: Average scores for C4D knowledge across seven core C4D competencies, before and after attending UNICEF-led or sponsored C4D training	60
Figure 6: Assessment of the extent to which staff put C4D knowledge into practice across seven core C4D competencies	61
Figure 7: Enablers and barrier of staff putting knowledge from C4D training into practice	64
Figure 8: Level of contribution that UNICEF C4D courses had in strengthening knowledge and practice	65
Figure 9: Numerical changes in C4D staff between 2006 and 2014	69
Figure 10: CO Satisfaction with how HQ is delivering on its C4D accountabilities	73
Figure 11: CO satisfaction with how ROs are delivering on their accountabilities	74
Figure 12: Four dimensions of C4D integration	80
Figure 13: Desk Review COs' assessment of the extent to which current levels of financial allocations for C4D meet the needs of each of their Sections	88
Figure 14: COs performance against the five global C4D benchmarks	104

ACRONYMS

ACSD	Accelerated Young Child Survival and Development
BCC	Behaviour Change Communication
CEE	Central and Eastern Europe
CIS	Commonwealth of Independent States
CO	Country Office
CP	Country Programme
CPD	Country Programme Document
CSO	Civil Society Organisation
EAG	Evaluation Advisory Group
EAPRO	East Asia and Pacific Regional Office
EO	Evaluation Office
ESARO	Eastern and Southern African Regional Office
HRBA	Human Rights-based Approach
HRBAP	Human Rights-based Approach to Programming
IFA	Iron-Folic Acid (Supplement)
ITN	Insecticide Treated Nets
KAP	Knowledge, Attitude and Practices (survey)
KII	Key Informant Interviews
LACRO	Latin American and Caribbean Regional Office
M&E	Monitoring and Evaluation
MENA	Middle East and North Africa
MENARO	Middle East and North Africa Regional Office
MNCH	Maternal, Newborn and Child Health
MNCHN	Maternal, Newborn and Child Health, and Nutrition
MORES	Monitoring Results for Equity System
MTR	Mid-term Review
MTSP	Mid-term Strategic Plan
NGO	Non-governmental Organisation

NYHQ	New York Headquarters
ODI	Overseas Development Institute (UK)
OLDS	Organisational Learning and Development Section
PPPM	Programme Policy and Procedure Manual
RO	Regional Office
ROSA	Regional Office for South Asia
UNEG	United National Evaluation Group
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
WASH	Water and Sanitation Hygiene
WCARO	West and Central Africa Regional Office

EXECUTIVE SUMMARY

Communication for development (C4D) is the application of the principles of effective communication to further development objectives. UNICEF is one of the lead international agencies in promoting and using C4D as a cross-cutting programme strategy to drive positive behavioural and social change for children and their families. It applies C4D across a variety of sector-specific issues such as ending open defecation, polio elimination, promoting breastfeeding for the prevention of HIV and AIDS, health/hygiene promotion notably handwashing, and communicating with disaster-affected communities in humanitarian emergencies. Most recently, C4D was integral to the response to the Ebola and Zika outbreaks.

C4D is central to all areas of UNICEF's work. Many of the targets in UNICEF's strategic plans are strongly dependent on behavioural and social change for their impact, scale and sustainability. The 2008 mid-term review of the 2006–13 Mid-term Strategic Plan (MTSP) found that 38 of the 52 key result areas were dependent on social and behaviour change.¹ In the current 2014–17 Strategic Plan, C4D is positioned under the 'capacity development' implementation strategy and C4D related components (knowledge, attitudes, practices, norms) are integrated into key result areas as demand side and enabling factors that every sectoral area has to work on.

In recognition of the importance of C4D, UNICEF has, since 2009, made substantial investment in developing both its internal capacity and the capacity of national partners in designing and implementing C4D strategies. It has also taken significant steps towards better integrating C4D as a cross-cutting programme strategy into systems, policies, plans and practices at all levels of the organisation.

Given UNICEF's investment in C4D to date, the recent decision to fund further C4D capacity development, and the ongoing evolution of C4D internally, a global evaluation was commissioned to look back over the past 5 years of capacity-building, integration, implementation and evaluability, and identify what has worked, areas for improvement and lessons learnt. The evaluation recommendations will help position C4D for the 2018–21 Strategic Plan period. The findings of the evaluation will guide future work in implementing C4D in UNICEF and strengthen its contribution to country programme results. In particular, they will inform work on the recently launched 'C4D Strengthening Initiative', a comprehensive programme of work designed to further strengthen UNICEF's capacity to deliver C4D programmes.²

¹ UNICEF, Mid-Term Review of the 2006–13 Mid-Term Strategic Plan.

² The C4D Strengthening Initiative is supported directly by UNICEF's Office of the Executive Director and built around four areas of action: 1. Systematising technical guidance; 2. Enhancing technical capacity; 3. Strengthening leadership and coordination; 4. Increasing institutional resources for core activities and innovations. It has been launched in recognition of the growing demand for C4D within UNICEF and the expectation that other UN agencies and partners have with regards to UNICEF's leadership in this area, including in humanitarian response

The scope of the evaluation is the period 2010 to 2015.³ Within this time period the greatest emphasis is on the past 4 years (2012–15).

The evaluation is formative⁴ and focused on identifying improvements and learning on C4D. It is also theory based and built around testing the theory of change that underpinned UNICEF's efforts to build capacity and integrate C4D in programming. The evaluation used country case studies and desk reviews to explore and compare how UNICEF's theory of change for C4D capacity development and integration played out in a sample of 25 countries. 20 of these countries were desk-review countries (Azerbaijan, Turkey, Myanmar, Fiji, India, Nepal, Sierra Leone, Liberia, Niger, Chad, DRC, Kenya, Mozambique, Somalia, Sudan, Egypt, Jordan, Ecuador, Haiti, Nicaragua) while primary data collection took place in five case study countries (Bangladesh, Nigeria, Ethiopia, Vietnam and Kyrgyzstan).

CONCLUSIONS

Overall

Behaviour and social change is central to all areas of UNICEF's work. Recognising the centrality of C4D to its work, UNICEF has made substantial investment in developing its internal capacity and mainstreaming C4D as a cross-cutting programme strategy at all levels of the organisation. The evaluation has found that UNICEF's efforts to build internal C4D capacity have been largely successful. Through a range of initiatives, UNICEF has created a cadre of professional staff that have the knowledge and skills in C4D to support and advise others in the organisation and externally. This has helped cement UNICEF's reputation among partners as a leader in C4D. However, the extent to which improved capacity has led to greater integration of C4D at all levels within UNICEF and, in turn, improved the quality of C4D implementation is mixed. Particularly at the country level, the evaluation found that the level of C4D integration in country office planning, resources and monitoring was frequently insufficient to meet the needs of the country programme. While implementation was good, it varied significantly across countries. The main reasons for this are a combination of factors: an absence of adequate financial allocations to C4D, uneven senior management support (particularly among section chiefs) for C4D, and limited investment in building an evidence base on the impact of C4D strategies and interventions. Moving forward, these need to be priority areas for action for UNICEF to build on the gains it has made to date, and to mainstream C4D and ensure consistent high quality C4D implementation across the organisation.

C4D capacity development initiatives

In assessing UNICEF's C4D capacity development efforts, the evaluation interrogated the extent to which initiatives have led to changes to individuals' C4D knowledge and practices. It

³ The original terms of reference stated 2010–14, however it was agreed with the Evaluation Advisory Group (EAG) that the timeframe should be expanded to cover 2015.

⁴ A formative evaluations involve the systematic collection of information to aid decision-making during the planning or implementation stages of a programme. They are generally process oriented.

also looked at the extent to which UNICEF has been able to create an enabling environment for C4D such as nurturing senior champions of C4D; increasing overall staffing levels for C4D across the organisation; and establishing clear C4D accountabilities at New York HQ (NYHQ), regional offices (RO) and country office (CO) levels.

Over the period covered by the evaluation, UNICEF's key C4D capacity development initiatives included two global courses (Communication for Development Learning Course, run by the Ohio University and Advances in Social Norms and Social Change, run by University of Pennsylvania – UPenn); a wide range of country and regional-level C4D training; and the production of both general and sector/theme specific C4D technical guidance.

The evaluation concluded that:

- UNICEF's overall organisational C4D Capacity Development Framework has provided an appropriate and relevant strategy for capacity and action since 2008; however, it has not kept pace with internal developments and is now largely redundant. As UNICEF redoubles its efforts over the coming years to both deepen and expand C4D capacity, a new strategy is needed.
- The use of global courses to build internal C4D capacity has been an appropriate strategy for UNICEF to pursue. Given the low level of internal capacity when the Ohio and UPenn courses started and the scarcity of adequate training opportunities at decentralised level in most regions, centralised global C4D training programmes have enabled UNICEF to keep close oversight of course content and quality. This was necessary to build a common understanding of C4D in UNICEF.
- UNICEF's investment in developing staff capacity in C4D has led to notable improvements in knowledge and practice. The contribution of the Ohio and UPenn courses to this has been notable. However, the costs of both courses prevent them from being continued indefinitely or significantly scaled up. In addition, there has been inadequate attention paid to creating synergies between them and communicating the two courses as an integrated package of support. Country and regional-level trainings have also played an important role in building staff capacity. They have contextualised content from the global courses and expanded the reach of C4D training to a wider range of CO staff. However, too often these are delivered as stand-alone activities rather than as part of a longer-term capacity development programme which has limited their effectiveness. Whether regional training is available to COs also varies considerably between regions.
- UNICEF's technical guidance on C4D has been effective in providing support and direction to those involved in C4D programming although it falls short of providing a comprehensive suite of support, with gaps in areas such as child protection and education. Similarly, while the guidance integrates cross-cutting issues of participation and gender equality well and provides detailed guidance on how to operationalise these in different programming contexts, it is weaker on human rights and equity issues.
- Overall, an intensive effort of high quality capacity development has taken place over the last 4–5 years that has served to skill-up the majority of C4D staff members. However, UNICEF now needs to deepen staff's knowledge through more sector-focused courses, in addition to

monitoring and evaluation (M&E) for C4D, and expand the reach of its capacity development through building the C4D capacity of the wider staff-body at a regional/country level.

- Efforts to create an enabling organisational environment for C4D have had mixed results. While there have been successes in increasing overall C4D staff numbers, and establishing clear HQ accountabilities on C4D (which it is largely delivering on), attempts at creating champions among senior managers⁵ has been mixed, as has creating sufficient C4D support for COs at the regional level. Particularly at the country level there is varied backing among section chiefs for C4D. A lack of a clear strategy for how UNICEF would engage senior managers has contributed to this. Likewise, many ROs have struggled to deliver effective support or live up to their regional leadership role on C4D.

Integration of C4D at the country, regional and HQ level

The evaluation assessed how far C4D has been integrated into UNICEF's office structures, strategies, plans and resourcing at country, regional and HQ levels and assessed whether or not the degree of integration and coverage of C4D is sufficient to meet programme requirements. To structure the analysis, C4D integration has been unpacked into four dimensions: integration into strategy; planning; resourcing; and reporting.

- At country level, the picture of how well C4D has been integrated into structures, strategies, plans and resourcing is mixed. While COs such as UNICEF Kenya and Bangladesh stand out, many have significant room for improvement. In the majority of the 25 COs reviewed, the level of C4D integration is currently not sufficient to meet required programming standards. There are three common gaps: first, the absence of a clear vision and strategy for C4D either at the level of the country programme or individual sections/programme areas. Second, a lack of C4D integration into core planning documents such as Situation Analyses and Strategy Notes and an ambiguity in C4D's position in and contribution to the Country Programme Results Framework. Third, a failure to report on C4D in a meaningful way through annual reports and a tendency to list what has been done (C4D activities) rather than what has been achieved (C4D outcomes).
- C4D integration in resourcing is also a notable gap. Across most COs, human and financial resources are largely insufficient to meet the needs of the country programmes. C4D staff are often overstretched and C4D initiatives are frequently underfunded. COs are addressing these constraints through a range of approaches such as using focal points to expand C4D capacity or establishing formal mechanisms (e.g. percentage caps from sections, C4D involvement in proposal processes) to mobilise resources.
- Success of joint working between C4D and external communication varies between COs. In large country programmes where C4D and external communications each have substantial portfolios, collaboration is positive and done on a needs basis. In middle-income countries where upstream work is expanding and direct implementation is diminishing, the scope for overlap and ambiguity between the two functions increases. Given the wide remit of C4D

⁵ Senior managers is used in the evaluation to mean at CO level: Representative, Deputy Representative, section chiefs; at RO level: Regional Director and Deputy Regional Director; and at NYHQ level: Director, Deputy Director, and Chief.

within UNICEF, there will often be overlap between the work of C4D and that of others. Finding ways for C4D to work with functions such as External Communications and/or Public Advocacy in a complementary and synergistic way is a key challenge for UNICEF.

- While there has been progress in integrating C4D at the regional level, this has been slow and there remains scope for improvement. The recruitment of C4D regional advisors in four ROs is a positive development and had been central to strengthening integration in these four regions (WCARO, ESARO, MENARO and ROSA);⁶ the other three regions need to follow suit. WCARO, ESARO and to a lesser extent EAPRO stand out as ROs which have invested significantly in C4D at the regional level and could offer support and guidance to other ROs strengthening their C4D capacity. Looking ahead, ensuring adequate capacity at the regional level is an important area for UNICEF to consider.
- At NYHQ level, C4D is well integrated into the 2014–17 Strategic Plan with behaviour and social change reflected in all sector results areas. All sectors include social and behaviour-related indicators and outputs, some of which are communication specific. However, its positioning under the ‘capacity development’ and ‘service delivery’ implementation strategies has resulted in less profile in reporting on C4D across the organisation. In terms of resourcing, the C4D Section is stretched. While its promotion from “unit” to “section” was positive, this did not come with an associated increase in funds. While the section has been able to mobilise funds through a range of sources, these arguably do not match the ambitious agenda it has developed.

Implementation of C4D at field level

Implementation has been looked at from three different angles. First, a series of lessons learnt were distilled from across the country case studies and document reviews about how best to implement C4D initiatives. Second, the evaluation looked at implementation from the perspective of CO performance against a set of global C4D benchmarks.⁷ These were applied across the 25 desk review and case study countries. The benchmarks are viewed as proxies for implementation quality by UNICEF. Last, a set of lessons on building partner C4D capacity from the five country case studies have been distilled. By taking these three different views of implementation, the evaluation has been able to build up a reasonably good picture of what UNICEF is accomplishing on C4D and the lessons it is learning.

- There is a wide range of C4D initiatives that are being supported by UNICEF. Among these, there are many that are having a tangible impact on behaviour and social norms. These represent important success stories that demonstrate the value that C4D can add to programming. The evaluation also identified a number of lessons on how best to implement C4D at country level. While UNICEF may already know many of these, it does not always put them into practice. Two of the most significant lessons include: C4D in UNICEF works best when implemented as a component of development or humanitarian programmes, not as a

⁶ WCARO West and Central Africa Regional Office; ESARO Eastern and Southern Africa Regional Office; MENARO Middle East and North African Regional Office; ROSA Regional Office for South Asia; EAPRO East Asia and Pacific Regional Office.

⁷ These are a voluntary tool developed by NYHQ for country offices to use to monitor and report on the quality of C4D implementation and which provided the evaluators with a proxy for the quality of C4D implementation.

stand-alone project; and that C4D interventions need to be grounded in and informed by a detailed understanding of the social norms and cultural practices of the context. The latter lesson came out strongly from the recent Ebola response in West Africa.

- Overall, country offices show an average performance across the benchmarks, with few countries being outstanding and none doing very badly. This indicates that the quality of C4D implementation is sound, but with significant room for improvement. UNICEF Mozambique, Nigeria, India and Bangladesh were the best performing COs across all benchmarks. COs are actively establishing and facilitating multi-stakeholder working groups and task forces that lead planning and coordination on C4D (Benchmark 1). This was the highest performing benchmark. Performance was worst in relation to documenting and sharing lesson learnt from C4D implementation (Benchmark 5). CO's use of evidence to inform C4D plans and strategies (Benchmark 2), and its consultation with communities (Benchmark 3) are largely good. However, practice is variable; in very few COs is it systematic.
- Many UNICEF COs are providing support to government and non-governmental organisation (NGO) partners to build their C4D capacity. However the demand for support is high, and many COs are struggling to meet it with much more than ad hoc training and workshops. Those that have been most successful in strengthening partner capacity have built long-term partnerships with universities and training providers and have underpinned this with a long-term vision and plan for partner capacity development. Encouragingly, there is anecdotal evidence to suggest that in countries such as Bangladesh, Nigeria and India where such a long-term strategic investment has taken place, there have been tangible impacts on government capacity. UNICEF's main strategic investment to date has been to develop the capacity of UNICEF staff to design and implement C4D initiatives. Moving forward, it needs to look for more opportunities to open up C4D capacity development to government and NGO partners.

Evaluability of C4D

The framework used to assess evaluability has two components: First, whether it is possible to evaluate *in principle*. Here the focus was on whether the underlying logic of the programme was clear and, specifically whether the contribution of C4D (i.e. behaviour and social norms change) was clearly articulated. Second, an assessment was made if it were possible to evaluate *in practice*. This involved looking at the monitoring data that has been collected, assessing its robustness and making a judgement on whether it is good enough to form the basis of an evaluation on the effects of C4D activities on behaviour / social change in the future. The evaluability framework was applied at two levels: at the level of CO's overall results frameworks and across a sample of 10 specific C4D programmes and/or projects.

- In no country office that was reviewed would it be possible to evaluate the contribution of C4D initiatives and strategies to the results of the country programme as a whole. This is because the positioning of C4D results in the CO results frameworks is often unclear and monitoring data on behaviour change, social norms change and/or social mobilisation is either not being collected or of poor quality.

- The evaluability of specific C4D interventions and programmes that UNICEF supports is more positive. Of the 10 that were reviewed, half could be evaluated in the future to examine how C4D is contributing to behaviour change. Four of these programmes (the Urban WASH and Ending Child Marriage programmes in Ethiopia, Engaging Communities programme in Bangladesh and the Nutrition programme in Nigeria) were in fact running independent evaluations alongside programme implementation.
- In order to build the evidence base on what really works in getting results through C4D, UNICEF needs to allocate more resources to evaluating the impact of C4D interventions. Currently, there is underinvestment in this area. While the four impact evaluations that were identified through this study will be important contributions to strengthening this evidence base, given the scale of UNICEF's investment in C4D they are arguably not sufficient to build up a compelling evidence base of what types of C4D interventions work in what contexts. There will not be credible evidence on C4D proven impact without robust evaluations of C4D, and without proven impact it will be difficult to convince more sceptical staff, particularly section chiefs, of C4D's value and to mobilise resources. Larger country programmes, ROs and HQ have a vital role to play in resourcing such evidence generation and supporting its exchange across the organisation.

RECOMMENDATIONS

Based on the findings and conclusions, the evaluation puts forward the following recommendations for how UNICEF can improve its C4D capacity and action. The first two recommendations are strategic and overarching. The subsequent recommendations are grouped according to the four main components of the evaluation: capacity development, integration, implementation and evaluability. Detailed recommendations including key actions required are provided in the body of the report (Chapter 10).

Overarching Recommendations

1. UNICEF should expand the understanding of, and secure more support for C4D as an organizational strategy among a wider range of staff at HQ, RO and CO levels.
2. To strengthen institutionalisation of C4D as a cross-cutting issue, C4D should be given a higher profile as an implementation strategy in the next Strategic Plan 2018-2021 and country offices should be required to better integrate C4D into strategic planning, reporting and budgeting processes and to put in place mechanisms to ensure C4D has a more sustainable funding base. This should be supported by regional offices and HQ.

C4D Capacity Development

3. Develop an internal strategy to engage with senior managers at all levels of the organization and support them in understanding the value of C4D.
4. Consider offering a combination of both general C4D and sector specific courses and support.

Integration and Implementation of C4D

5. Review and/or strengthen C4D staffing and strategy at regional and country office levels for more systematic integration of C4D in country programmes.

6. Renew the focus on designing and delivering quality C4D interventions.

Data, Evaluation and Evidence

7. Strengthen monitoring, evaluation and learning on C4D by investing additional funds, documenting good practices, and preparing high-quality M&E frameworks.

RESUMEN EJECUTIVO

La Comunicación para el desarrollo (C4D) es la aplicación de los principios de comunicación efectiva con el fin de promover los objetivos de desarrollo. El UNICEF es uno de los principales organismos internacionales que promueven y utilizan la C4D como estrategia programática transversal para impulsar el cambio positivo social y de comportamiento a favor de los niños y niñas y sus familias. El UNICEF aplica la C4D en varias cuestiones sectoriales específicas, como el poner fin a la defecación al aire libre, la erradicación de la poliomielitis, la promoción de la lactancia materna para la prevención del VIH y el SIDA, la promoción de la salud y la higiene, especialmente mediante el lavado de las manos, y la comunicación con comunidades afectadas por desastres en casos de emergencias humanitarias. Más recientemente, la C4D ha formado parte de la respuesta a los brotes de ébola y zika.

La C4D es fundamental en todas las esferas de la labor del UNICEF. El impacto, la escala y la sostenibilidad de un gran número de metas de los planes estratégicos del UNICEF dependen en gran medida del cambio social y de comportamiento. El examen de mitad de período de 2008 correspondiente al Plan Estratégico de Mediano Plazo (PEMP) 2006-2013 reveló que 38 de las 52 esferas de resultados clave dependían del cambio social y de comportamiento.⁸ En el Plan Estratégico 2014–2017 actual, la C4D se incluye en la estrategia de implementación de “desarrollo de la capacidad”, y los componentes de la C4D relacionados (conocimientos, actitudes, prácticas, normas) están integrados en las esferas de resultados clave como factores propicios y de demanda en los que deben trabajar todas las esferas sectoriales.

Reconociendo la importancia de la C4D, desde 2009 el UNICEF invierte de manera sustancial en el fomento tanto de su capacidad interna como de la capacidad de los asociados nacionales para diseñar e implementar estrategias de C4D. También ha dado pasos significativos hacia una mejor integración de la C4D como estrategia programática transversal en sistemas, políticas, planes y prácticas a todos los niveles de la organización.

Dada la inversión del UNICEF en C4D hasta la fecha, la reciente decisión de seguir financiando el desarrollo de la capacidad en C4D, así como la evolución continua de la C4D a nivel interno, se encargó una evaluación mundial para revisar la creación de capacidad, la integración, la implementación y la evaluabilidad durante los últimos 5 años e identificar qué ha funcionado, las áreas de mejora y las lecciones aprendidas. Las recomendaciones de la evaluación ayudarán a posicionar la C4D de cara al período del Plan Estratégico 2018-2021. Las conclusiones de la evaluación servirán para orientar la futura labor de implementación de la C4D en el UNICEF y fortalecer su aportación a los resultados de los programas de los países. En particular, contribuirán al trabajo realizado sobre la recién presentada “Iniciativa de Fortalecimiento de la C4D” que consiste en un programa integral de trabajo para reforzar adicionalmente la capacidad del UNICEF de ofrecer programas de C4D⁹.

⁸ UNICEF, Examen de mitad de período del Plan Estratégico de Mediano Plazo 2006–2013.

⁹ La Iniciativa de Fortalecimiento de la C4D está respaldada directamente por la Oficina del Director Ejecutivo (ODE) y se articula en torno a cuatro esferas de acción: 1. Sistematizar la orientación técnica; 2. Mejorar la capacidad técnica; 3. Fortalecer el liderazgo

El alcance de la evaluación es el período comprendido entre 2010 y 2015¹⁰. Se presta especial atención a los cuatro últimos años (2012-2015) de este período.

La evaluación es formativa¹¹ y se centra en la identificación de mejoras y el aprendizaje de la C4D. Además, se basa en la teoría y se construye poniendo a prueba la teoría del cambio que respalda los esfuerzos del UNICEF para fomentar la capacidad e integrar la C4D en la programación. En la evaluación se utilizaron estudios de caso por países y exámenes documentales para investigar y comparar cómo se manifestó la teoría del cambio del UNICEF para el desarrollo de la capacidad y la integración de C4D en una muestra de 25 países. Veinte de estos países fueron países objeto de examen documental (Azerbaiyán, Turquía, Myanmar, Fiji, India, Nepal, Sierra Leona, Liberia, Níger, Chad, República Democrática del Congo, Kenya, Mozambique, Somalia, Sudán, Egipto, Jordania, Ecuador, Haití, Nicaragua), mientras que la recopilación de datos primarios se efectuó en cinco estudios de caso por países (Bangladesh, Nigeria, Etiopía, Viet Nam y Kirguistán).

CONCLUSIONES

Conclusiones generales

El cambio social y de comportamiento es esencial en todas las esferas de la labor del UNICEF. Reconociendo la importancia de la C4D en sus operaciones, el UNICEF ha invertido de manera sustancial en el fomento de su capacidad interna y en la incorporación de la C4D como estrategia programática transversal en todos los niveles de la organización. La evaluación ha revelado que los esfuerzos del UNICEF para crear capacidad interna de C4D han tenido un gran éxito. A través de diversas iniciativas, el UNICEF ha formado un grupo de profesionales con las competencias y los conocimientos en C4D necesarios para respaldar y asesorar a colegas de la propia organización y a nivel externo. Esto ha contribuido a afianzar la reputación del UNICEF como líder en C4D entre los asociados. Sin embargo, el grado en el que una mejor capacidad ha derivado hacia una mayor integración de la C4D en todos los niveles dentro del UNICEF y, a su vez, en la mejora de la calidad de la implementación de la C4D, no queda claro. Especialmente a nivel de países, la evaluación reflejó que el nivel de integración de la C4D en la planificación, los recursos y el seguimiento de las oficinas en el país era con frecuencia insuficiente para atender las necesidades del programa del país. Pese a que la implementación fue satisfactoria, esta varió considerablemente entre los distintos países. Esto se debe principalmente a una combinación de factores: la falta de asignaciones económicas apropiadas a la C4D, un apoyo irregular por parte del personal directivo, particularmente entre los Jefes de Sección para la C4D, y una inversión limitada para generar una base de pruebas

y la coordinación; 4. Aumentar los recursos institucionales para actividades fundamentales e innovaciones. Se ha puesto en marcha para satisfacer la creciente demanda de C4D dentro del UNICEF y la expectativa que tienen otros organismos de las Naciones Unidas y asociados con respecto al liderazgo del UNICEF en este ámbito, incluida la respuesta humanitaria

¹⁰ El mandato original indicaba 2010–2014, pero se acordó con el Grupo Consultivo de Evaluación que el plazo debería ampliarse para incluir el año 2015.

¹¹ Una evaluación formativa conlleva la recopilación sistemática de información como ayuda a la toma de decisiones durante las etapas de planificación o implementación de un programa. Generalmente está orientada a los procesos.

sobre el impacto de las estrategias e intervenciones de C4D. Con miras al futuro, estos factores deben convertirse en esferas prioritarias de acción para que el UNICEF pueda aprovechar los logros alcanzados hasta la fecha, e incorporar la C4D y garantizar su implementación uniforme y de alta calidad en toda la organización.

Iniciativas de desarrollo de la capacidad de C4D

Al valorar los esfuerzos de desarrollo de la capacidad de C4D por parte del UNICEF, la evaluación examinó hasta qué punto las iniciativas habían conseguido cambios en los conocimientos y las prácticas de C4D de las personas. También analizó en qué grado el UNICEF había sido capaz de crear un ambiente propicio para la C4D, por ejemplo, mediante la dotación de promotores con experiencia en C4D; el aumento general de personal para la C4D en toda la organización; y el establecimiento de una rendición de cuentas clara sobre la C4D a nivel de la sede de Nueva York, de las oficinas regionales y de las oficinas en el país.

Durante el período cubierto por la evaluación, las principales iniciativas de desarrollo de la capacidad de C4D del UNICEF incluyeron dos cursos a escala mundial (Curso de Aprendizaje de Comunicación para el Desarrollo, dirigido por la Universidad de Ohio y Avances en Normas Sociales y el Cambio Social, dirigido por la Universidad de Pennsylvania); una amplia capacitación sobre C4D a nivel de países y regiones; y la producción de orientación técnica sobre C4D, tanto de carácter general como para sectores/temas específicos.

La evaluación concluyó que:

- Desde 2008, el Marco de Desarrollo de la Capacidad sobre C4D organizacional general del UNICEF proporciona una estrategia apropiada y pertinente para la capacidad y la acción; sin embargo, no ha sabido adecuarse a las novedades internas y actualmente es en gran medida redundante. Mientras el UNICEF aumenta sus esfuerzos durante los próximos años tanto para intensificar como para ampliar la capacidad de la C4D, será necesaria una nueva estrategia.
- De forma apropiada, el UNICEF ha perseguido la estrategia del uso de cursos a nivel mundial para crear capacidad interna de C4D. Visto el bajo nivel de capacidad interna cuando comenzaron los cursos de Ohio y Pennsylvania y la escasez de oportunidades de capacitación adecuadas a nivel descentralizado en la mayoría de las regiones, los programas de capacitación de C4D centralizados a nivel mundial han permitido al UNICEF supervisar detenidamente el contenido y la calidad de los cursos. Esto fue necesario para generar una visión común de la C4D en el UNICEF.
- La inversión del UNICEF en el desarrollo de la capacidad del personal sobre C4D ha dado lugar a notables mejoras en los conocimientos y la práctica. Los cursos de Ohio y Pennsylvania han contribuido a ello de forma destacada. No obstante, los costos de ambos cursos impiden proseguirlos indefinidamente o ampliarlos considerablemente, y se ha prestado poca atención a la creación de sinergias entre ellos y a su difusión como un paquete integrado de apoyo. Las capacitaciones regionales y nacionales también han desempeñado un papel importante a la hora de fomentar la capacidad del personal. Estas han contextualizado el contenido de los cursos mundiales y ampliado el alcance de la capacitación en C4D a un conjunto más amplio de miembros del personal de las oficinas en

el país. Sin embargo, con demasiada frecuencia estas se imparten como actividades independientes y no como parte de un programa de desarrollo de la capacidad a más largo plazo, lo cual ha limitado su efectividad. La disponibilidad de capacitación regional para las oficinas en el país también varía considerablemente de una región a otra.

- La orientación técnica del UNICEF en cuanto a la C4D ha sido eficaz a la hora de prestar apoyo y orientación a los encargados de la programación de la C4D, aunque está lejos de ofrecer un conjunto de herramientas de apoyo completo, ya que se observan deficiencias en ámbitos tales como la protección de la infancia y la educación. Y si bien la orientación integra satisfactoriamente cuestiones transversales sobre la participación y la igualdad de género, además de proporcionar instrucciones detalladas sobre cómo plasmarlas en contextos de programación distintos, no es tan sólida en lo que respecta a las cuestiones de derechos humanos y de igualdad.
- En general, cabe señalar que se han realizado esfuerzos importantes de alta calidad en el desarrollo de la capacidad durante los últimos 4 o 5 años, y que han servido para mejorar las habilidades de la mayoría de los miembros del personal de la C4D. De todos modos, ahora el UNICEF debe aumentar los conocimientos del personal a través de cursos enfocados a cada sector, además de realizar el seguimiento y la evaluación (SyE) de la C4D, y ampliar el alcance de sus actividades de desarrollo de la capacidad fomentando la capacidad de C4D de un conjunto mayor de miembros del personal a nivel regional/nacional.
- Los esfuerzos para crear un entorno organizacional propicio para la C4D han tenido resultados desiguales. Por un lado, han sido eficaces al aumentar las cifras generales de personal de C4D y al establecer responsabilidades claras de la sede con respecto a la C4D (y que en gran medida están obteniendo resultados); por otro lado, los intentos de formar promotores entre los responsables directivos¹² han tenido un éxito desigual, lo que también se aplica a la creación de apoyo suficiente a la C4D en oficinas en el país a nivel regional. Especialmente a nivel de país existe un apoyo dispar con respecto a la C4D entre los Jefes de Sección. La falta de una estrategia clara sobre cómo podría el UNICEF implicar a los responsables directivos ha contribuido a ello. Asimismo, muchas oficinas regionales han intentado ofrecer un apoyo efectivo o estar a la altura de su liderazgo regional en lo que respecta a la C4D.

Integración de la C4D en los planos nacional, regional y de la sede

La evaluación determinó en qué grado está integrada la C4D en las estructuras de oficina, las estrategias, los planes y los recursos del UNICEF en los planos nacional, regional y de la sede, y valoró si el grado de integración y cobertura de la C4D era o no suficiente para satisfacer los requisitos programáticos. A fin de estructurar el análisis, se ha desglosado la integración de la C4D en cuatro dimensiones: integración en la estrategia; planificación, dotación de recursos; y presentación de informes.

¹² En la evaluación se utiliza el término “responsables directivos” para hacer referencia, a nivel de oficina en el país, a: Representante, Representante Adjunto, Jefes de Sección; a nivel de oficina regional: Director Regional y Director Regional Adjunto; a nivel de la sede de Nueva York: Director, Director Adjunto, y Jefe.

- A nivel de país hay una imagen dispar del grado de integración de la C4D en las estructuras, las estrategias, los planes y la dotación de recursos. Aunque destacan oficinas en el país como UNICEF Kenya y Bangladesh, hay muchas otras que presentan un importante margen de mejora. En la mayoría de las 25 oficinas en el país examinadas, el nivel de integración de la C4D actualmente no es suficiente para satisfacer los estándares de programación exigidos. Se observan tres deficiencias comunes: en primer lugar, la ausencia de una visión y estrategia claras respecto a la C4D, ya sea a nivel del programa nacional o en esferas de programa o secciones concretas. En segundo lugar, la falta de integración de la C4D en los principales documentos de planificación como los Análisis de la situación y las Notas sobre la estrategia y una ambigüedad sobre dónde situar la C4D y cómo contribuye con respecto al Marco de Resultados del Programa del País. En tercer lugar, la falta de información significativa sobre la C4D a través de informes anuales y una tendencia a describir lo que se ha hecho (actividades de la C4D) en lugar de lo que se ha logrado (efectos de la C4D).
- La integración de la C4D en la dotación de recursos también es bastante deficiente. En la mayoría de oficinas en el país, los recursos humanos y financieros en general son insuficientes para satisfacer las necesidades de los programas del país. A menudo el personal de C4D está saturado de trabajo y las iniciativas de C4D no suelen contar con los fondos necesarios. Las oficinas en el país están abordando estas limitaciones mediante una serie de enfoques a fin de movilizar recursos, como el uso de los coordinadores para ampliar la capacidad de la C4D o la creación de mecanismos formales (por ejemplo, topes porcentuales fijados por secciones o la participación de la C4D en los procesos de propuestas).
- El éxito del trabajo conjunto de la C4D y la comunicación externa varía en función de la oficina en el país. En programas de país de gran envergadura, donde la C4D y las Comunicaciones tienen carteras sustanciales, la colaboración es positiva y se lleva a cabo según las necesidades. En los países de ingresos medios donde se está ampliando el trabajo preliminar y la implementación directa está disminuyendo, aumentan las posibilidades de solapamiento y de ambigüedad entre las dos funciones. Dado el extenso ámbito de la C4D dentro del UNICEF, a menudo existirá solapamiento entre lo que hace la C4D y el trabajo de terceros. Un reto clave para el UNICEF será encontrar maneras para que la C4D colabore con funciones tales como las Comunicaciones Externas y/o la Promoción de una manera complementaria y sinérgica.
- Pese a que se ha progresado en la integración de la C4D en el plano regional, se ha hecho de manera lenta y todavía queda margen de mejora. La contratación de asesores regionales sobre C4D en cuatro oficinas regionales es un avance positivo, fundamental para el fortalecimiento de la integración en estas cuatro regiones (Oficina Regional para África Occidental y Central, Oficina Regional para África Oriental y Meridional, Oficina Regional para Oriente Medio y Norte de África, y Oficina Regional para África Meridional); las otras tres regiones deben seguir su ejemplo. La Oficina Regional para África Occidental y Central, la Oficina Regional para África Oriental y Meridional y, en menor medida, la Oficina Regional para Asia Oriental y el Pacífico destacan como oficinas regionales que han invertido considerablemente en la C4D a nivel regional y que podrían ofrecer apoyo y orientación a

otras oficinas regionales para fortalecer su capacidad de C4D. De cara al futuro el UNICEF debe tener en cuenta un aspecto importante: garantizar una capacidad adecuada a nivel regional.

- A nivel de la sede de Nueva York, la C4D está bien integrada en el Plan Estratégico 2014-2017, reflejándose el cambio social y de comportamiento en todas las esferas de resultados sectoriales. Todos los sectores incluyen indicadores y productos relacionados con las normas sociales y el comportamiento, algunos de los cuales son específicos a la comunicación. No obstante, su inclusión en las estrategias de implementación de “desarrollo de la capacidad” y “prestación de servicios” ha dado como resultado que tenga un perfil más bajo en la presentación de informes sobre C4D en toda la organización. En términos de dotación de recursos, la sección de C4D tiene dificultades. Si bien aumentar su categoría de “dependencia” a “sección” fue positivo, esto no ha ido acompañado de un aumento de los fondos. Y aunque la sección ha sido capaz de movilizar fondos a través de diversas fuentes, estas posiblemente no coinciden con la ambiciosa agenda que ha elaborado.

Implementación de la C4D sobre el terreno

La implementación se ha considerado desde tres ángulos diferentes. En primer lugar, se extrajo una serie de lecciones aprendidas a partir de estudios de caso por países y de análisis de documentos sobre la mejor manera de implementar iniciativas de C4D. En segundo lugar, la evaluación se centró en la implementación desde la perspectiva del desempeño de las oficinas en el país con respecto a elementos de referencia mundiales de C4D¹³. Estos se aplicaron en los 25 exámenes documentales y estudios de caso por países. Los elementos de referencia son considerados indicadores indirectos de la calidad de implementación por parte del UNICEF. Por último, se ha sintetizado un conjunto de lecciones aprendidas sobre el desarrollo de la capacidad de C4D en los asociados a partir de los cinco estudios de casos por países. Al valorar estos tres puntos de vista diferentes sobre la implementación, la evaluación ha podido ilustrar de manera razonablemente satisfactoria lo que está haciendo el UNICEF en materia de C4D y la experiencia que está adquiriendo.

- El UNICEF presta apoyo a multitud de iniciativas sobre la C4D. Entre ellas hay bastantes que están ejerciendo un impacto tangible sobre el comportamiento y las normas sociales. Se trata de historias de éxito importantes que demuestran el valor que la C4D puede aportar a la programación. La evaluación también identificó una serie de lecciones sobre cómo implementar mejor la C4D a nivel de país. Si bien el UNICEF ya conoce muchas de estas, no siempre se ponen en práctica. Dos de las más significativas incluyen: en el ámbito del UNICEF, la C4D funciona mejor cuando se implementa como un componente de los programas de desarrollo o humanitarios, y no solo como proyecto independiente. Por otra parte, es necesario que las intervenciones de C4D se apoyen y se basen en una comprensión detallada de las normas sociales y las prácticas culturales del contexto. La

¹³ Estos son un instrumento voluntario que fue desarrollado por la sede de Nueva York para ser utilizado por las oficinas en el país, a fin de supervisar e informar sobre la calidad de la implementación de la C4D y que proporcionaba a los evaluadores un indicador indirecto de la calidad de la implementación de la C4D.

última lección surgió de manera patente en la reciente respuesta ante el ébola en el África occidental.

- En general, las oficinas en el país muestran un desempeño promedio en todos los elementos de referencia; un grupo reducido de países sobresale por encima de la media y no hay ninguno que tenga un desempeño muy deficiente. Esto indica que la calidad de la implementación de la C4D es consistente, aunque hay un importante margen de mejora. UNICEF en Mozambique, Nigeria, la India y Bangladesh fueron las oficinas en el país que mejor desempeño reflejaron en todos los elementos de referencia. Las oficinas en el país están participando activamente en la creación y facilitación de grupos de trabajo formados por varias partes interesadas que dirigen la planificación y la coordinación sobre la C4D (Elemento de referencia 1). Este fue el elemento de referencia que presentó un mayor desempeño. El peor desempeño correspondió a la documentación y la difusión de lecciones aprendidas de la implementación de la C4D (Elemento de referencia 5). La utilización de pruebas por parte de las oficinas en el país para contribuir a los planes y estrategias de C4D (Elemento de referencia 2), y su consulta con las comunidades (Elemento de referencia 3) son en gran parte satisfactorias. Sin embargo, la práctica es variable; en muy pocas oficinas en el país se realiza de forma sistemática.
- Muchas oficinas del UNICEF en el país prestan apoyo a asociados gubernamentales y de organizaciones no gubernamentales (ONG) para fomentar su capacidad de C4D. No obstante, la demanda de apoyo es elevada, y muchas oficinas en el país están esforzándose para lograr dicha capacidad con muchos más recursos que capacitación y talleres especializados. Aquellos que han tenido más éxito en el fortalecimiento de la capacidad de los asociados han creado asociaciones a largo plazo con universidades y proveedores de capacitación, y han consolidado dicho éxito con una visión de largo plazo y un plan de desarrollo para la capacidad de los asociados. Es alentador conocer pruebas anecdóticas que sugieren que en países como Bangladesh, Nigeria y la India, donde se ha llevado a cabo una inversión estratégica a largo plazo, se han observado impactos tangibles sobre la capacidad del gobierno. La principal inversión estratégica del UNICEF hasta la fecha ha sido desarrollar la capacidad del personal del UNICEF para diseñar e implementar iniciativas de C4D. Con miras al futuro, el UNICEF debe buscar más oportunidades para facilitar el desarrollo de la capacidad de C4D a asociados gubernamentales y de organizaciones no gubernamentales.

Evaluabilidad de la C4D

El marco utilizado para valorar la evaluabilidad tiene dos componentes: en primer lugar, si es posible realizar la evaluación *en principio*. En este caso, la atención se centró en si la lógica subyacente del programa era clara y, específicamente, si la contribución de la C4D (es decir, el cambio de comportamiento y de las normas sociales) estaba articulado claramente. En segundo lugar, se valoró si sería posible realizar la evaluación *en la práctica*. Esto implicó estudiar los datos recopilados en cuanto al seguimiento, evaluar su consistencia y emitir un juicio sobre su idoneidad para conformar la base de una evaluación sobre los efectos de las actividades de C4D en el cambio de comportamiento/social en el futuro. El marco de

evaluabilidad se aplicó en dos niveles: en el nivel de marcos de resultados generales de las oficinas en el país y en una muestra de 10 programas y/o proyectos de C4D específicos.

- En ninguna oficina en el país examinada sería posible evaluar la contribución de las iniciativas y estrategias de C4D a los resultados del programa del país en su totalidad. Esto se debe a que la inclusión de los resultados de la C4D en los marcos de resultados de las oficinas en el país es a menudo confusa, y a que no se recopilan datos de seguimiento sobre el cambio de comportamiento, el cambio de normas sociales y/o la movilización social, o, cuando se recopilan, los datos son de mala calidad.
- La evaluabilidad de intervenciones y programas específicos sobre la C4D que respalda el UNICEF es más positiva. De los 10 que se examinaron, la mitad podría evaluarse en el futuro para analizar de qué forma contribuye la C4D a un cambio de comportamiento. Cuatro de estos programas (el de Agua, Saneamiento e Higiene en ciudades y el de Poner fin al matrimonio infantil en Etiopía, el de Participación de las comunidades en Bangladesh y el de Nutrición en Nigeria) de hecho estaban llevando a cabo evaluaciones independientes paralelas a la implementación de los programas.
- A fin de construir la base de pruebas sobre lo que realmente funciona para obtener resultados con la C4D, el UNICEF debe asignar más recursos a la evaluación del impacto de las intervenciones de C4D. Actualmente, esta esfera no recibe las suficientes inversiones. Aunque las cuatro evaluaciones de impactos identificadas mediante este estudio contribuirán de forma importante al fortalecimiento de esta base de pruebas, dada la magnitud de las inversiones del UNICEF en C4D posiblemente no serán suficientes para construir una base de pruebas convincente que permita conocer los tipos de intervenciones de C4D que funcionan en determinados contextos. No habrá pruebas fidedignas sobre el impacto demostrado de la C4D sin evaluaciones sólidas de la C4D, y sin un impacto demostrado será difícil convencer a los miembros del personal más escépticos, especialmente los Jefes de Sección, sobre el valor de la C4D y la necesidad de movilizar recursos. Los programas nacionales de mayor tamaño, las oficinas regionales y la sede pueden desempeñar un papel vital en la dotación de recursos para la generación de dichas pruebas y apoyar su intercambio en toda la organización.

RECOMENDACIONES

Partiendo de las conclusiones obtenidas, la evaluación formula las siguientes recomendaciones sobre cómo el UNICEF puede mejorar su capacidad y acción respecto a la C4D. Las dos primeras recomendaciones son de carácter general y estratégico. Las recomendaciones subsiguientes están agrupadas conforme a los cuatro componentes principales de la evaluación: desarrollo de la capacidad, integración, implementación y evaluabilidad. En el cuerpo del informe (capítulo 10) figuran recomendaciones detalladas, que incluyen acciones clave necesarias.

Recomendaciones generales

1. El UNICEF debe ampliar la comprensión de la C4D y asegurar un mayor apoyo a la misma como estrategia organizacional entre un número mayor de miembros del personal a nivel de la sede, de las oficinas regionales y de las oficinas en el país.

2. Para fortalecer la institucionalización de la C4D como cuestión transversal, esta debe tener un perfil más destacado como estrategia de implementación en el próximo Plan Estratégico 2018-2021, y se debe exigir a las oficinas en el país que la integren mejor en la planificación estratégica, la presentación de informes y los procesos de elaboración de presupuestos, además de instaurar mecanismos para garantizar que la C4D tenga una base de financiación más sostenible. Para ello, se debe contar con el apoyo de las oficinas regionales y la sede.

Desarrollo de la capacidad de C4D

3. Elaborar una estrategia interna para implicar a los responsables directivos a todos los niveles de la organización y ayudarles a comprender el valor de la C4D.

4. Considerar la posibilidad de ofrecer una combinación de cursos y apoyo sobre C4D, tanto de carácter general como sectorial.

La integración e implementación de la C4D

5. Revisar y/o fortalecer la dotación de personal y la estrategia de C4D a nivel de las oficinas regionales y de oficinas en el país, a fin de lograr una integración más sistemática de la C4D en los programas nacionales.

6. Renovar el énfasis en el diseño y la prestación de intervenciones de C4D de calidad.

Datos, evaluación y pruebas

7. Fortalecer el seguimiento, la evaluación y el aprendizaje de la C4D invirtiendo fondos adicionales, documentando las buenas prácticas y preparando marcos de SyE de alta calidad.

RÉSUMÉ ANALYTIQUE

La communication pour le développement (C4D) est l'application des principes de la communication efficace visant à l'avancement des objectifs de développement. L'UNICEF est à l'avant-garde des agences internationales qui font la promotion de la communication pour le développement et qui l'utilisent comme stratégie de programme transversale afin de stimuler des changements de comportement et des changements sociaux positifs en faveur des enfants et de leurs familles. L'UNICEF applique la C4D à diverses questions sectorielles spécifiques telles que l'élimination de la défécation à l'air libre, de la poliomyélite, la promotion de l'allaitement maternel pour la prévention du VIH et du SIDA, la promotion de la santé et de l'hygiène, notamment du lavage des mains, ainsi que la communication avec les communautés frappées par des catastrophes naturelles au cours de ses interventions d'urgence. Récemment, la communication pour le développement a été intégrée aux interventions liées aux épidémies des virus Ebola et Zika.

C4D a une importance centrale dans tous les domaines de l'action de l'UNICEF. Les résultats obtenus sur de nombreuses cibles des plans stratégiques de l'UNICEF, leur échelle et leur caractère durable, dépendent fortement de changements de comportement et de changements sociaux. L'examen à mi-parcours du Plan stratégique à moyen terme 2006-2013 (PSMT) effectué en 2008 a conclu que 38 des 52 domaines de résultat clés dépendaient du changement social et comportemental¹⁴. Dans l'actuel Plan stratégique 2014-2017, la communication pour le développement relève de la stratégie de mise en œuvre du « renforcement des capacités », et les composantes relatives à la communication pour le développement (connaissances, attitudes, pratiques, normes) sont intégrées dans les domaines de résultat clés au titre de la demande et des facteurs favorables sur lesquels tous les secteurs doivent travailler.

Afin de reconnaître l'importance de la communication pour le développement, l'UNICEF a, depuis 2009, fait d'importants investissements dans le développement de ses capacités internes comme de celles de ses partenaires nationaux, dans les domaines de la conception et de la mise en œuvre de stratégies de communication pour le développement. L'agence a aussi pris des mesures importantes pour mieux intégrer la communication pour le développement comme stratégie de programme transversale dans ses dispositifs, ses plans et ses pratiques à tous les niveaux de l'organisation.

Compte tenu de l'importance de l'investissement réalisé à ce jour par l'UNICEF dans la communication pour le développement, de la décision de financer un développement supplémentaire de capacités en C4D ainsi que de l'évolution interne de cette communication, une évaluation de niveau mondial a été commandée afin d'examiner les changements qui sont intervenus au cours des cinq dernières années en matière de renforcement des capacités, d'intégration, de mise en œuvre et les possibilités d'en faire une évaluation, et d'identifier ce qui a correctement fonctionné, les domaines exigeant des améliorations et les leçons tirées de l'expérience. Les recommandations de cette évaluation aideront à positionner la communication

¹⁴ UNICEF, Examen à mi-parcours du Plan stratégique à moyen terme 2006-2013

pour le développement dans la période du Plan stratégique 2018-2021. Elles guideront les futures mesures de mise en œuvre de la communication pour le développement prises par l'UNICEF et renforceront sa contribution aux résultats des programmes de pays. Elles serviront en particulier de base de travail à l'« Initiative de renforcement de la communication pour le développement », un programme de travail extensif conçu pour renforcer encore plus les capacités que l'UNICEF possède pour mettre en œuvre les programmes de communication pour le développement¹⁵.

Cette évaluation portera sur la période de 2010 à 2015¹⁶, et plus particulièrement sur les quatre dernières années (2012-2015).

Cette évaluation a un caractère formatif¹⁷ et se concentre sur l'identification d'améliorations et sur la connaissance du domaine de la communication pour le développement. Elle a aussi une base théorique et elle s'articule autour de la mise à l'épreuve de la théorie du changement qui a sous-tendu les efforts déployés par l'UNICEF pour renforcer ses capacités et intégrer la communication pour le développement dans sa programmation. L'évaluation a eu recours à des études de cas concernant divers pays ainsi qu'à une recherche documentaire pour explorer la manière dont la théorie du changement de l'UNICEF qui soutenait le développement des capacités et l'intégration de la communication pour le développement a fonctionné dans un échantillon de 25 pays, et pour procéder à une comparaison. Parmi ces pays, 20 ont fait l'objet d'une recherche documentaire (Azerbaïdjan, Turquie, Myanmar, Fiji, Inde, Népal, Sierra Leone, Libéria, Niger, Tchad, RDC, Kenya, Mozambique, Somalie, Soudan, Égypte, Jordanie, Équateur, Haïti, Nicaragua) alors que la collecte de données primaires a eu lieu dans cinq pays ayant fait l'objet d'une étude de cas (Bangladesh, Nigéria, Éthiopie, Vietnam et Kirghizistan).

CONCLUSIONS

Conclusions générales

Le changement social et comportemental est central dans tous les domaines de travail de l'UNICEF. Reconnaisant l'importance de la communication pour le développement pour son action, l'UNICEF a fait des investissements substantiels pour développer ses capacités internes et pour opérer une prise en compte systématique de la communication pour le développement à titre de stratégie de programme transversale à tous les niveaux de l'organisation. L'évaluation a conclu que les efforts accomplis par l'UNICEF pour consolider ses capacités internes de C4D ont largement été couronnés de succès. L'UNICEF a créé par une série d'initiatives un

¹⁵ L'Initiative de renforcement de la communication pour le développement, récemment lancée par le Bureau du Directeur général, s'articule autour de quatre domaines d'action: 1. Systématisation de l'assistance technique ; 2. Renforcement des capacités techniques ; 3. Renforcement des capacités de direction et de coordination ; 4. Augmentation des ressources disponibles pour les activités centrales et les innovations. Elle a été lancée en reconnaissance de la croissance de la demande de C4D au sein de l'UNICEF et des attentes que d'autres agences de l'ONU et d'autres partenaires ont sur cette question concernant le rôle pilote de l'UNICEF, y compris en ce qui concerne les interventions humanitaires.

¹⁶ Le mandat d'origine concernait la période 2010-2014, il a cependant été convenu en accord avec le Groupe consultatif sur l'évaluation qu'il devrait être prolongé pour couvrir l'année 2015.

¹⁷ Une évaluation formative implique la collecte systématique d'informations destinées à favoriser la prise de décision pendant les phases de planification ou de mise en œuvre d'un programme. Ces évaluations se concentrent généralement sur les processus.

personnel de cadres professionnels possédant les connaissances et le savoir-faire en communication pour le développement nécessaires pour aider les autres membres dans et en dehors de l'organisation. Ceci a contribué à consolider la réputation que l'UNICEF s'est faite parmi ses partenaires comme leader dans le domaine de la communication pour le développement. Cependant, la mesure dans laquelle ces capacités améliorées ont permis une meilleure intégration de la communication pour le développement à tous les niveaux au sein de l'UNICEF, et en retour amélioré la qualité de mise en œuvre de la communication pour le développement, présente des résultats mitigés. L'évaluation a constaté, particulièrement au niveau des pays, que le niveau d'intégration de la C4D dans la planification des bureaux de pays ainsi qu'en termes de ressources et de suivi était fréquemment insuffisant pour répondre aux besoins des programmes de pays. Si la mise en œuvre est satisfaisante, elle varie considérablement d'un pays à l'autre. Les raisons principales qui expliquent ceci sont l'insuffisance des crédits consacrés à la communication pour le développement, un appui inégal de la part des cadres de direction, particulièrement des Chefs de section, et un investissement limité dans la constitution d'une base factuelle sur les effets obtenus par les stratégies et interventions de communication pour le développement. Ces lacunes doivent à l'avenir faire l'objet de mesures prioritaires pour permettre à l'UNICEF de consolider les gains qu'il a réalisés jusqu'ici, et pour intégrer systématiquement la mise en œuvre de la communication pour le développement et lui assurer de manière cohérente une qualité supérieure dans l'ensemble de l'organisation.

Les initiatives de renforcement des capacités de communication pour le développement

L'évaluation des efforts de renforcement des capacités de l'UNICEF dans le domaine de la communication pour le développement a examiné dans quelle mesure ces initiatives ont abouti à des changements au niveau individuel dans les connaissances et les pratiques relatives à la communication pour le développement. Elle a aussi analysé le degré de réussite de l'UNICEF dans le domaine de la création d'un environnement favorable à la C4D, par exemple par la formation de « champions » de la communication pour le développement parmi les cadres supérieurs ; par l'augmentation globale des effectifs du personnel qui s'y consacre dans l'organisation ; par la définition de responsabilités claires au niveau du siège de New York, des bureaux régionaux et des bureaux de pays.

Les initiatives clés lancées par l'UNICEF pour renforcer ses capacités de communication pour le développement au cours de la période couverte par l'évaluation comprenaient au niveau mondial deux formations (la formation à la communication pour le développement donnée par l'université de l'Ohio et celle sur les avancées des normes sociales et le changement social de l'université de Pennsylvanie) ; un large éventail de formations sur la communication pour le développement données au niveau national ou régional ; la rédaction de conseils techniques sur la communication pour le développement traitant la question au niveau général aussi bien qu'aux niveaux sectoriel et thématique.

L'évaluation conclut que :

- Le cadre organisationnel global de renforcement des capacités de communication pour le développement défini par l'UNICEF a fourni depuis 2008 une stratégie adaptée et pertinente dans les domaines des capacités comme de l'action ; il n'a cependant pas évolué au rythme

des développements internes et il est maintenant largement redondant. Une nouvelle stratégie est nécessaire alors que l'UNICEF va au cours des années qui viennent redoubler d'efforts pour à la fois approfondir et élargir ses capacités de communication pour le développement.

- L'utilisation de formations données au niveau mondial pour renforcer les capacités de communication pour le développement a constitué une stratégie appropriée pour l'UNICEF. Étant donné le faible niveau des capacités quand les deux cours mentionnés ci-dessus ont été lancés et la rareté de formations disponibles au niveau décentralisé dans la plupart des régions, les programmes de formation à la communication pour le développement centralisés au niveau mondial ont permis à l'UNICEF de contrôler étroitement le contenu et la qualité de ces cours, ce qui était nécessaire pour arriver à une compréhension partagée de la communication pour le développement au sein de l'organisation.
- L'investissement réalisé par l'UNICEF dans le développement des capacités de son personnel chargé de la C4D a abouti à des améliorations notables, et la contribution des cours ci-dessus a été importante. Cependant, le coût de ces deux formations empêche de les offrir indéfiniment ou de manière élargie. Il n'a d'autre part pas été porté suffisamment d'attention à la création d'une synergie entre ces deux cours et à leur présentation comme programme intégré de formation de soutien. Les formations de niveau national et régional ont également joué un rôle important dans le renforcement des capacités du personnel ; elles ont contextualisé le contenu des cours de niveau mondial et élargi la formation à la communication pour le développement à un plus grand nombre de membres du personnel des bureaux de pays. Elles sont cependant trop souvent offertes à titre d'activités autonomes plutôt que comme partie intégrante d'un programme à long terme de développement des capacités, ce qui a limité leur efficacité. La disponibilité de formations régionales pour les bureaux de pays varie également considérablement entre les différentes régions.
- Les conseils techniques de l'UNICEF sur la communication pour le développement ont fourni avec succès soutien et orientation au personnel impliqué dans les programmes concernés malgré le fait qu'ils ne constituent pas un matériel de soutien complet, étant donné des lacunes dans des domaines comme la protection de l'enfance et l'éducation. Et bien que ce matériel intègre de manière satisfaisante des questions transversales comme la participation et l'égalité des sexes, et fournisse des conseils détaillés sur la manière de les rendre opérationnelles dans les différents contextes programmatiques, il se révèle plus faible sur les questions de droits humains et d'équité.
- Globalement, c'est un effort intensif de développement de capacités de haute qualité qui a été accompli au cours des 4-5 dernières années, et il a servi à renforcer le savoir-faire des membres du personnel qui travaillent à la communication pour le développement. Cependant, l'UNICEF doit maintenant approfondir les connaissances du personnel grâce à des formations plus centrées sur les différents secteurs, ainsi que par un travail de suivi et d'évaluation sur la communication pour le développement et par l'expansion de la portée de son renforcement des capacités dans ce domaine en l'étendant à l'ensemble du personnel au niveau régional et des différents pays.

- Les efforts consacrés à la mise en place d'un environnement organisationnel favorable à la C4D ont obtenu des résultats mitigés. Bien que l'augmentation globale du nombre de membres du personnel travaillant à la communication pour le développement et la définition de responsabilités claires au niveau du siège (qui les assume de manière largement satisfaisante) aient été menées à bien avec succès, les tentatives de créer des « champions » parmi les cadres de direction¹⁸ n'ont obtenu que des résultats mitigés, il en a été de même pour l'offre d'un soutien suffisant au niveau régional en faveur de la communication pour le développement dans les bureaux de pays. Au niveau des différents pays en particulier, le soutien offert par les Chefs de section a été très inégal. L'absence de stratégie claire de l'UNICEF sur la manière d'obtenir la collaboration des cadres de direction a contribué à ce problème. Un nombre important de bureaux régionaux ont eu des difficultés à fournir un soutien efficace ou à remplir adéquatement leur rôle de direction au niveau régional dans le domaine de la communication pour le développement.

Intégration de la communication pour le développement aux niveaux national, régional et du siège

L'évaluation a examiné la manière dont la communication pour le développement a été intégrée dans les structures administratives des bureaux de l'UNICEF, dans leurs stratégies, leurs plans et la mobilisation de leurs ressources à tous les niveaux : pays, région, siège. Elle a évalué si le degré d'intégration et de couverture de la communication pour le développement était suffisant pour répondre aux besoins des programmes. Afin de structurer cette analyse, l'intégration de la communication pour le développement a été décomposée en quatre volets : intégration dans la stratégie, planification, ressources allouées, documentation.

- Au niveau des pays, le bilan de l'intégration de la communication pour le développement dans les structures, les stratégies, les plans et pour les ressources allouées est mitigé. Si des bureaux de pays comme ceux du Kenya et du Bangladesh se distinguent, nombreux sont ceux qui doivent encore faire des progrès. Pour ce qui concerne la majorité des 25 bureaux de pays examinés, le degré d'intégration de la communication pour le développement est actuellement insuffisant pour satisfaire aux normes programmatiques exigées. Il existe trois lacunes communes à ces pays : premièrement, l'absence d'une vision et d'une stratégie claires de communication pour le développement, que ce soit au niveau des programmes de pays ou des sections/domaines programmatiques individuels. Deuxièmement, un manque d'intégration de la communication pour le développement dans les documents de planification d'importance centrale tels que les analyses de situation et les notes de stratégie, ainsi qu'une ambiguïté sur la position et la contribution de la C4D au Cadre de résultats des programmes de pays. Troisièmement, une incapacité à la documenter de manière pertinente par des rapports annuels ainsi qu'une tendance à faire une liste de ce qui a été fait (les activités de communication pour le développement) plutôt que de ce qui a été effectivement concrétisé (les réalisations obtenues par la communication pour le développement).

¹⁸ Le terme « cadres de direction » se rapporte dans cette évaluation aux postes suivants, au niveau des bureaux de pays : Représentant, Représentant adjoint, Chefs de section ; au niveau des bureaux régionaux : Directeur régional et Directeur régional adjoint ; pour le siège de New York : Directeur général, Directeur général adjoint et Chefs de service.

- L'intégration de la communication pour le développement au chapitre des ressources constitue également une lacune notable. Dans la plupart des bureaux de pays, les ressources humaines et financières disponibles sont largement insuffisantes pour satisfaire les besoins des programmes de pays. Le personnel responsable de la communication pour le développement est souvent surchargé et les initiatives dans ce domaine, fréquemment sous-financées. Les bureaux de pays font face à ces contraintes en recourant à diverses démarches comme l'usage de points focaux afin d'élargir les capacités de la communication pour le développement, ou comme la mise en place de mécanismes structurels (par ex. un pourcentage maximum fixé par les sections, l'implication de la communication pour le développement dans les procédures de proposition) afin de mobiliser des ressources.
- Le succès des activités conjointes entre la communication pour le développement et la communication externe varie entre les différents bureaux de pays. Pour les programmes de pays importants où la communication pour le développement et le service des communications ont chacun un carnet d'activités substantiel, la collaboration est positive et s'effectue sur la base des besoins qui se manifestent. Dans les pays à revenu intermédiaire où le travail mené en amont augmente et la mise en œuvre directe diminue, les risques de chevauchement et d'ambiguïtés entre les deux fonctions se multiplient. Étant donné l'ampleur du mandat confié à la communication pour le développement au sein de l'UNICEF, il y aura souvent chevauchement entre ce que fait la communication pour le développement et le travail d'autres responsables. Trouver des moyens pour que la communication pour le développement fonctionne de manière complémentaire et en synergie avec des fonctions comme celle des communications externes et/ou celle des campagnes publiques de plaidoyer sera un défi clé pour l'UNICEF.
- Bien que des progrès aient été faits pour intégrer la communication pour le développement au niveau régional, ils ont été lents et il reste du travail à faire pour y apporter des améliorations. Le recrutement de conseillers régionaux en communication pour le développement effectué par quatre bureaux régionaux est une évolution positive et a joué un rôle central dans le renforcement de son intégration dans ces quatre régions (Afrique de l'Ouest et centrale, Afrique de l'Est et australe, Moyen-Orient et Afrique du Nord, Asie du Sud)¹⁹. Il est nécessaire que les trois autres régions suivent le mouvement. Le bureau régional Afrique de l'Ouest et centrale et le bureau régional Afrique de l'Est et australe, et dans une moindre mesure, le bureau régional Asie de l'Est et Pacifique, se distinguent comme bureaux régionaux qui ont fait un important investissement dans la communication pour le développement au niveau régional et qui peuvent offrir soutien et conseils aux autres bureaux régionaux pour renforcer leurs capacités de communication pour le développement. Il est important pour l'avenir que l'UNICEF considère comme importante la tâche de garantir des capacités adéquates au niveau régional.
- Au niveau du siège de New York, la communication pour le développement est bien intégrée dans le Plan stratégique 2014-2017 et les changements comportementaux et sociaux sont inscrits dans tous les domaines de résultat sectoriels. Tous les secteurs intègrent des

¹⁹ Désigné en anglais par les acronymes WCARO ; ESARO ; MENARO ; ROSA, respectivement.

indicateurs et des produits concernant la dimension sociale et les comportements et dont certains sont spécifiques à la communication. Cependant, sa position au titre des stratégies de mise en œuvre du « développement des capacités » et de la « prestation de services » a abouti à donner à la communication pour le développement un profil moins important au sein de l'organisation sur le plan de la documentation. En termes de mobilisation de ressources, la section C4D fait face à une situation tendue. Si sa promotion du rang de « Groupe » à celui de « Section » a été positive, elle n'a pas été accompagnée d'une augmentation de crédits. Bien que la section ait pu mobiliser des fonds en faisant appel à diverses sources, ceux-ci ne sont sans doute pas à la hauteur des objectifs ambitieux qu'elle s'est fixés.

Mise en œuvre de la communication pour le développement sur le terrain

La mise en œuvre a été examinée sous trois angles différents. Premièrement, une série de leçons a été tirée des études de cas et des examens documentaires des différents pays sur la meilleure manière de mettre en œuvre les initiatives de C4D. Deuxièmement, l'évaluation a analysé la mise en œuvre du point de vue des résultats obtenus par les bureaux de pays par rapport à un ensemble de critères de référence sur la communication pour le développement²⁰ définis au niveau mondial. Ces critères de référence sont considérés par l'UNICEF comme jouant le rôle de mesures de la qualité de la mise en œuvre. Finalement, un ensemble de leçons concernant le renforcement des capacités des partenaires pour la C4D a été tiré des cinq études de cas par pays. À partir de ces trois points de vue, l'évaluation a pu établir une image raisonnablement correcte de ce que l'UNICEF accomplit dans la communication pour le développement et des leçons qu'il en tire.

- L'UNICEF apporte son soutien à un large éventail d'initiatives sur la communication pour le développement. Parmi celles-ci, un certain nombre ont un effet tangible sur les comportements et les normes sociales. Elles constituent des succès importants qui démontrent la valeur ajoutée que la communication pour le développement peut apporter à la programmation. L'évaluation a aussi identifié un certain nombre de leçons sur la meilleure manière de mettre en œuvre la communication pour le développement au niveau d'un pays. Bien que l'UNICEF connaisse déjà souvent un grand nombre d'entre elles, l'organisation ne les applique pas toujours. Parmi les plus importantes figurent les deux leçons suivantes : à l'UNICEF, la communication pour le développement est plus efficace quand elle est mise en action dans le cadre de programmes de développement ou de programmes humanitaires, non comme projet autonome isolé ; les interventions de communication pour le développement doivent être fondées sur une compréhension approfondie des normes sociales et des pratiques culturelles du milieu concerné qui doit informer leur mise en œuvre. Cette dernière leçon a été fortement mise en relief dans la récente intervention sur l'épidémie du virus Ebola en Afrique de l'Ouest.
- Globalement, les bureaux de pays ont obtenu des résultats moyens par rapport à ces critères de référence, quelques pays se distinguant, aucun n'ayant de mauvais résultats.

²⁰ Il s'agit d'outils mis à la disposition des bureaux de pays par le siège de New York et que ceux-ci peuvent choisir d'utiliser pour assurer le suivi et la documentation de la qualité de la mise en œuvre de leur communication pour le développement ; ils fournissent des indicateurs indirects pour évaluer cette qualité de la communication pour le développement.

Ceci indique que la mise en œuvre de la communication pour le développement est de bonne qualité, mais peut encore être considérablement améliorée. Les bureaux de pays de l'UNICEF du Mozambique, du Nigéria, de l'Inde et du Bangladesh sont ceux qui ont obtenu les meilleurs résultats par rapport à l'ensemble des critères de référence. Les bureaux de pays sont en train d'activement mettre en place des groupes de travail et des équipes spéciales qui dirigent les activités de planification et de coordination sur la communication pour le développement (critère de référence 1). C'est par rapport à ce critère que les résultats ont été les meilleurs ; les plus mauvais ont été obtenus pour la documentation et la communication des leçons tirées de la mise en œuvre de la communication pour le développement (critère de référence 5). L'utilisation par les bureaux de pays de données factuelles pour informer les plans et les stratégies de communication pour le développement (critère de référence 2), et leur consultation des communautés (critère de référence 3) sont en général satisfaisantes. Les pratiques sont cependant variables, il y a peu de bureaux de pays où elles sont systématiques.

- De nombreux bureaux de pays de l'UNICEF fournissent à nos partenaires des gouvernements et des organisations non gouvernementales (ONG) un soutien pour élargir leurs capacités de communication pour le développement. La demande est cependant très forte et de nombreux bureaux de pays éprouvent des difficultés à y répondre en offrant mieux que des formations et des ateliers ad hoc. Ceux qui ont eu le plus grand succès dans le renforcement des capacités des partenaires ont mis en place des partenariats à long terme avec des universités et des fournisseurs de formation, mesures soutenues par une vision et un plan à long terme pour ce développement des capacités des partenaires. Des informations non confirmées suggèrent de manière encourageante que dans des pays comme le Bangladesh, le Nigéria et l'Inde où de tels investissements dans des stratégies à long terme ont été effectués, des effets tangibles ont été obtenus sur les capacités des gouvernements concernés. Le principal investissement stratégique de l'UNICEF jusqu'à aujourd'hui a été de renforcer les capacités de son personnel dans les domaines de la conception et de la mise en œuvre d'initiatives de communication pour le développement. Aller de l'avant demandera de chercher de nouvelles occasions d'ouvrir le renforcement des capacités de communication pour le développement aux gouvernements et aux ONG partenaires.

Faisabilité de l'évaluation de la communication pour le développement

Le cadre utilisé pour juger de ces possibilités d'évaluation comporte deux éléments : premièrement, est-ce qu'une évaluation est possible *en principe* ? La question ici était de savoir si la logique sous-jacente au programme était claire et, plus spécialement, si la contribution de la communication pour le développement (par ex. au changement des comportements et des normes sociales) était clairement énoncée. Deuxièmement, on a jugé la possibilité de faire une évaluation *dans la pratique*. Ce qui impliquait de consulter les données de suivi qui avaient été recueillies, de juger de leur valeur et de savoir si elles étaient assez solides pour former la base d'une évaluation future des effets des activités de communication pour le développement sur le changement des comportements et le changement social. Ce cadre a été appliqué à deux niveaux : au niveau global des cadres de résultat des bureaux de pays et pour un échantillon de 10 programmes et projets de communication pour le développement spécifiques.

- Dans aucun des bureaux de pays ayant fait l'objet d'un examen, il ne serait possible d'évaluer la contribution globale aux programmes de pays des initiatives et des stratégies de communication pour le développement. Ceci s'explique par le fait que le positionnement des résultats de la communication pour le développement dans le cadre de résultat des bureaux de pays est rarement clair, et que les données sur le changement des comportements, celui des normes sociales et/ou sur la mobilisation sociale ne sont pas recueillies ou sont de qualité médiocre.
- Les possibilités d'évaluer des interventions et des programmes de communication pour le développement spécifiques soutenus par l'UNICEF sont plus positives. Sur les 10 qui ont été évalués, la moitié pourront être évalués à l'avenir pour examiner comment la communication pour le développement contribue au changement des comportements. Quatre de ces programmes (les programmes sur l'EAH en milieu urbain et pour mettre fin au mariage d'enfants en Éthiopie, le programme sur les communautés émergentes au Bangladesh et le programme de nutrition au Nigéria) procédaient en fait déjà à des évaluations indépendantes en parallèle à la mise en œuvre de ces programmes.
- Afin de constituer une base de données factuelles sur ce qui dans la communication pour le développement produit réellement des résultats, l'UNICEF a besoin d'allouer des ressources plus importantes à l'évaluation des effets des interventions de communication pour le développement. Ce domaine souffre actuellement de sous-investissement. Même si les quatre évaluations des effets obtenus identifiés par la présente étude apporteront des contributions importantes au renforcement de la base de données factuelle, étant donné l'échelle des investissements réalisés par l'UNICEF dans la communication pour le développement, elles ne sont sans doute pas suffisantes pour constituer une base de données factuelles sur les genres d'interventions de communication pour le développement qui donnent des résultats et dans quel contexte. Il n'y aura pas de preuves crédibles des effets de la communication pour le développement sans de solides évaluations, et en l'absence de preuves, il sera difficile de convaincre les membres du personnel les plus sceptiques, particulièrement parmi les Chefs de section, de la valeur de la communication pour le développement et de la mobilisation de ressources. Les plus importants programmes de pays, les bureaux régionaux et le siège ont un rôle vital à jouer pour fournir les ressources nécessaires à cette production de données factuelles et pour soutenir leur diffusion à travers l'ensemble de l'organisation.

RECOMMANDATIONS

Se fondant sur les résultats obtenus et les conclusions qu'elle en tire, la présente évaluation met en avant les recommandations suivantes sur la manière dont l'UNICEF peut améliorer ses capacités et son action dans le domaine de la communication pour le développement. Les deux premières recommandations sont de nature stratégique et globale. Les recommandations suivantes sont groupées en fonction des quatre principales composantes de l'évaluation : développement des capacités, intégration, mise en œuvre et caractère évaluable. Des

recommandations détaillées incluant les mesures clés qui sont requises sont présentées dans le rapport lui-même (chapitre 10).

Recommandations globales

1. L'UNICEF doit élargir la compréhension de la communication pour le développement comme stratégie de l'organisation et lui assurer un soutien plus important parmi un nombre supérieur de membres du personnel du siège, des bureaux régionaux et des bureaux de pays.
2. Pour renforcer l'institutionnalisation de la communication pour le développement en tant que question transversale, il est nécessaire de lui donner une plus grande importance comme stratégie de mise en œuvre dans le cadre du prochain Plan stratégique 2018-2021. Les bureaux de pays devraient mieux intégrer la communication pour le développement dans leur planification stratégique, leurs rapports et leurs procédures budgétaires, et mettre en place des mécanismes pour lui assurer une base de financement plus durable. Ces mesures devront être soutenues par les bureaux régionaux et le siège.

Renforcement des capacités de communication pour le développement

3. Développer une stratégie interne pour obtenir la collaboration des cadres de direction à tous les niveaux de l'organisation et les aider à appréhender la valeur de la communication pour le développement.
4. Envisager d'offrir une combinaison de cours généraux sur la communication pour le développement, de cours sectoriels spécifiques et de mesures de soutien.

Intégration et mise en œuvre de la communication pour le développement

5. Révision et/ou renforcement de la politique du personnel et de la stratégie concernant la communication pour le développement au niveau des bureaux régionaux et des bureaux de pays pour obtenir une intégration plus systématique de la C4D dans les programmes de pays.
6. Remettre l'accent sur la conception et la mise en œuvre d'interventions de qualité pour la communication pour le développement.

Données, évaluation et éléments factuels

7. Renforcer le suivi, l'évaluation et les connaissances relatives à la C4D en faisant des investissements supplémentaires, en documentant les bonnes pratiques et en préparant des cadres de suivi et d'évaluation de bonne qualité.

1 Introduction

Communication for development (C4D) is the application of the principles of effective communication to further development objectives (for UNICEF's full definition see Table 1 below). UNICEF is one of the lead international agencies in promoting and using C4D as a cross-cutting programme strategy to drive positive behavioural and social change for children and their families. It applies C4D across a variety of sector-specific issues such as open defecation, polio, exclusive breastfeeding for the prevention of HIV and AIDS, and communicating with disaster-affected communities in humanitarian emergencies. Most recently, C4D was integral to the response to the Ebola and Zika outbreaks.

C4D is central to all areas of UNICEF's work. Many of the targets in UNICEF's strategic plans are strongly dependent on behavioural and social change for their impact, scale and sustainability. The 2008 mid-term review (MTR) of the 2006–13 Mid-Term Strategic Plan (MTSP) found that 38 of the 52 key result areas were dependent on social and behaviour change.²¹ In the current 2014–17 Strategic Plan, C4D is positioned under the 'capacity development' implementation strategy and C4D related components (knowledge, attitudes, practices, norms) are integrated into key result areas as demand and enabling side factors that every sectoral area has to work on.

In recognition of the importance of C4D UNICEF has, since 2009, made substantial investment in developing both its internal capacity and the capacity of national partners in designing and implementing C4D strategies. It has also taken significant steps towards better integrating C4D as a cross-cutting programme strategy into systems, policies, plans and practices at all levels of the organisation.²²

Given UNICEF's investment in C4D to date, the recent decision to fund further capacity development through the 'C4D Strengthening Initiative', and the ongoing evolution of C4D internally, a global evaluation was commissioned to look back over the past 5 years of capacity-building efforts, and identify what has worked, areas for improvement and lessons learnt. The findings of the evaluation will guide future work in implementing C4D in UNICEF and strengthen its contribution to country programme results.

The report is structured as follows: **Sections 1 to 4** provide the background and methodology. **Sections 5 to 8** are the main findings sections, providing the substance around the four main themes of this evaluation. **Section 5** presents the findings on internal C4D capacity development in C4D, **section 6** on integration of C4D, **section 7** on implementation of C4D and finally **section 8** on the evaluability of C4D programmes. **Sections 9 and 10** detail the conclusions and recommendations. Annexes provide references, lists of informants, detail on methodology, consultants' Terms of Reference etc.

Table 1 provides definitions for key concepts and terms used in this report.

²¹ UNICEF, Mid-Term Review of the 2006–13 Mid-Term Strategic Plan.

²² Terms of Reference.

Table 1: Key terms used in the report

Key definitions and terms used in the report
Communication for development (C4D) is defined by UNICEF as: ‘a systematic, planned and evidence-based process to promote positive and measurable individual behaviour change, social change and political change that is an integral part of development programmes and humanitarian work. It uses research and consultative processes to promote human rights and equity, mobilise leadership and societies, enable citizen participation, build community resilience, influence norms and attitudes and support the behaviours of those who have an impact on the well-being of children,(women) their families and communities, especially the most marginalized or hard-to-reach’ ²³
C4D capacity development relates to the strategies and initiatives that UNICEF has employed to strengthen the organisation’s own capabilities to set and achieve strategic C4D objectives over time. These efforts have taken place both at the level of the individual through the development of individual’s knowledge and practices and the organisation through changes to policies, systems resources
C4D integration relates to how C4D has been embedded in the strategies, plans, staffing, and programming of UNICEF offices at global, regional and country level. It is concerned with understanding the level of resources (human and financial) that has been available for C4D and the prominence of C4D strategies in programming and reporting
C4D implementation relates to the C4D operational activities that are being conducted. In the context of this evaluation implementation was only examined at the country level
C4D benchmarks are a set of performance standards developed by UNICEF HQ C4D Section. The benchmarks provide a proxy for the quality of C4D implementation at the country level
Evaluability relates to the extent to which initiatives can be evaluated in a reliable and credible way. It relates to whether the underlying logic of the programme is clear and, in the context of this evaluation, specifically whether the contribution of C4D is clearly articulated. It also relates to whether the data that is needed to conduct an evaluation of C4D in the future is being collected and is credible

²³ Communication for Development: Strategic Vision and Policy Framework for Implementation of UNICEF’s Strategic Plan 2014–17.

2 Purpose, objectives and scope of the evaluation

The **purpose** of the global evaluation of UNICEF's capacity and action in C4D is to generate credible and useful evidence on the requirements for successful implementation of C4D to strengthen UNICEF's future action and results in this area. The findings will guide future work in implementing C4D in UNICEF and strengthen its contribution to country programme results. It will also feed into the development of UNICEF's next Strategic Plan 2018–21 and the formulation of an updated C4D strategy/framework and related guidance. Finally, the evaluation will help inform UNICEF's engagement in the wider development communication community, and position the organisation for C4D related contributions to advance the post 2015 sustainable development agenda and children's rights in the coming years.

The recent decision to launch the Office of the Executive Director (OED)-supported 'C4D Strengthening Initiative' makes this evaluation timely. The C4D Strengthening Initiative is a comprehensive programme of work designed to further strengthen UNICEF's capacity to deliver C4D programmes.²⁴ It has been launched in recognition of the growing demand for C4D within UNICEF and the expectation that other UN agencies and partners have with regards to UNICEF's leadership in this area, including in humanitarian response. With this significant investment in C4D, currently under implementation, this evaluation will help to surface what has worked well in the past, what should be continued and what needs to change or be improved.

The scope of the evaluation is the period 2010 to 2015.²⁵ Within this time period the greatest emphasis will be on the past 4 years (2011–15). The evaluation looks back past 2010, but only to help understand the historical roots of more recent events.

The evaluation has three main **areas of focus** and five specific **objectives**. Table 2 outlines how these relate to each other.

Table 2: Areas of focus and objectives of the evaluation

Area of focus	Objectives
A. Assess UNICEF's C4D capacity development strategies and initiatives	1. Capacity development : Assess the relevance, efficiency and effectiveness of UNICEF's internal capacity development strategies and interventions relating to C4D in terms of (a) developing individual knowledge and competences and (b) enhanced institutional capacities; and identify the factors driving or constraining effectiveness
B. Assess the extent to which C4D has been integrated / mainstreamed in UNICEF offices and programmes	2. C4D integration : Assess the extent to which and how appropriately C4D functions have been integrated into UNICEF offices and programmes ('mainstreamed'); the extent to which UNICEF has achieved adequate and consistent coverage of C4D capacity in relation to programme requirements; and the extent to which the implementation of C4D approaches has been supported or constrained by available capacities 3. C4D implementation : Assess how relevant C4D related planning and implementation (including through use of proposed benchmarks) has been to the contextual needs of the country/programme; and identify factors driving or

²⁴ The C4D Strengthening Initiative is built around four areas of action: 1. Systematising technical guidance; 2. Enhancing technical capacity; 3. Strengthening leadership and coordination; 4. Increasing institutional resources for core activities and innovations.

²⁵ The original terms of reference stated 2010–14; however, it was agreed with the Evaluation Advisory Group (EAG) that the timeframe should be expanded to cover 2015.

	constraining the relevance of C4D-related planning and programming, including the lessons learnt from capacity building of implementing partners
C. Assess the extent to which C4D results can be evaluated	4. Evaluability : Review C4D related performance monitoring and, knowledge management and assess the evaluability of results (outcomes, impact) achieved through programmes using C4D interventions and the likely sustainability of those results

The fifth objective is not included in Table 2 as it is overarching and cuts across each of the three focus areas. The objective is: 'based on evidence gathered, to provide clear conclusions and recommendations for policy and management decisions to further institutionalise C4D in UNICEF and strengthen its contribution to country programme results within the context of UNICEF's overall commitment to equity.'

For further details on the purpose, objectives and scope of the evaluation see Terms of Reference in Annex 1.

3 Background to the evaluation

3.1 What is C4D in UNICEF?

C4D is concerned with contributing to and achieving behavioural and social change by amplifying people's voices through communication approaches and tools. The ultimate goal of C4D is to enable positive social transformation through influencing political and social support systems and enabling individual and collective engagement and participation. C4D is a fundamental approach to UNICEF's rights-based programming and achieving its development goals.

Central to UNICEF's approach to C4D is that communication strategies should be human rights-based and empower people to take action and advocate for positive social change; participatory and appropriately tailored to the context; and evidence-based and grounded in a clear understanding of social and behavioural data. For UNICEF C4D is a systematic, planned and evidence-based process to promote behaviour and social change.

What C4D is in practice varies; UNICEF applies a range of approaches to a variety of sector-specific thematic issues (health, nutrition, water and sanitation hygiene (WASH), education, child protection etc.) to drive positive behavioural and social change. Key social problems that use C4D strategies include: ending open defecation, promoting exclusive breastfeeding for the prevention of HIV and AIDS, infectious disease prevention and control (e.g. polio, malaria, diarrhoea, cholera, Ebola, Zika, avian and pandemic flu etc.), fostering education enrolment and retention, adolescent health and participation, and communicating with disaster-affected communities in humanitarian emergencies. How UNICEF applies C4D in practice can be grouped into four broad approaches:²⁶

Figure 1: UNICEF's four approaches to C4D

Advocacy	Social mobilisation
C4D advocacy focuses on elevating the voices of communities and marginalised groups to demand their rights, influence policy and legislation, and advocate for the equitable distribution of resources. C4D advocacy strategies commonly operate at a decentralised level nationally and relate to programmatic objectives that are consistent with the strategic priorities of the country office. They differ from the advocacy activities led by the Communications Department at a country level, which are focused on policy advocacy around broader development issues that affect children. ²⁷	Social mobilisation seeks to equip key stakeholders with the tools and approaches to better coordinate and engage in dialogue on rights-based development issues. It involves engaging with communities, civil society, social networks, and faith-based organisations.
Behaviour change communication	Communication for social change
Behaviour change communication seeks to address attitudes, awareness, and practices at an individual level through research-based consultative processes. Through a mixture of channels and approaches it seeks	Communication for social change focuses at community level and seeks to influence social norms, harmful cultural practices, and negative societal structures. It is

²⁶ UNICEF, Communication for Development: Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014–17; UNICEF WASARO, C4D Strategic Framework 2016–21.

²⁷ ESARO Network Meeting, PPT, 2012; working draft 11/5/2012 recommendations on the structure and delineation of roles for communication in UNICEF country offices.

to provide information to incentivise change at an individual level.

a process of change addressing the balance of power at community and political level.

Although C4D encompasses a wide range of approaches and strategies, UNICEF is clear that C4D is not corporate communication and therefore is not about UNICEF's visibility, brand, and image management but rather about contributing to direct results for children.

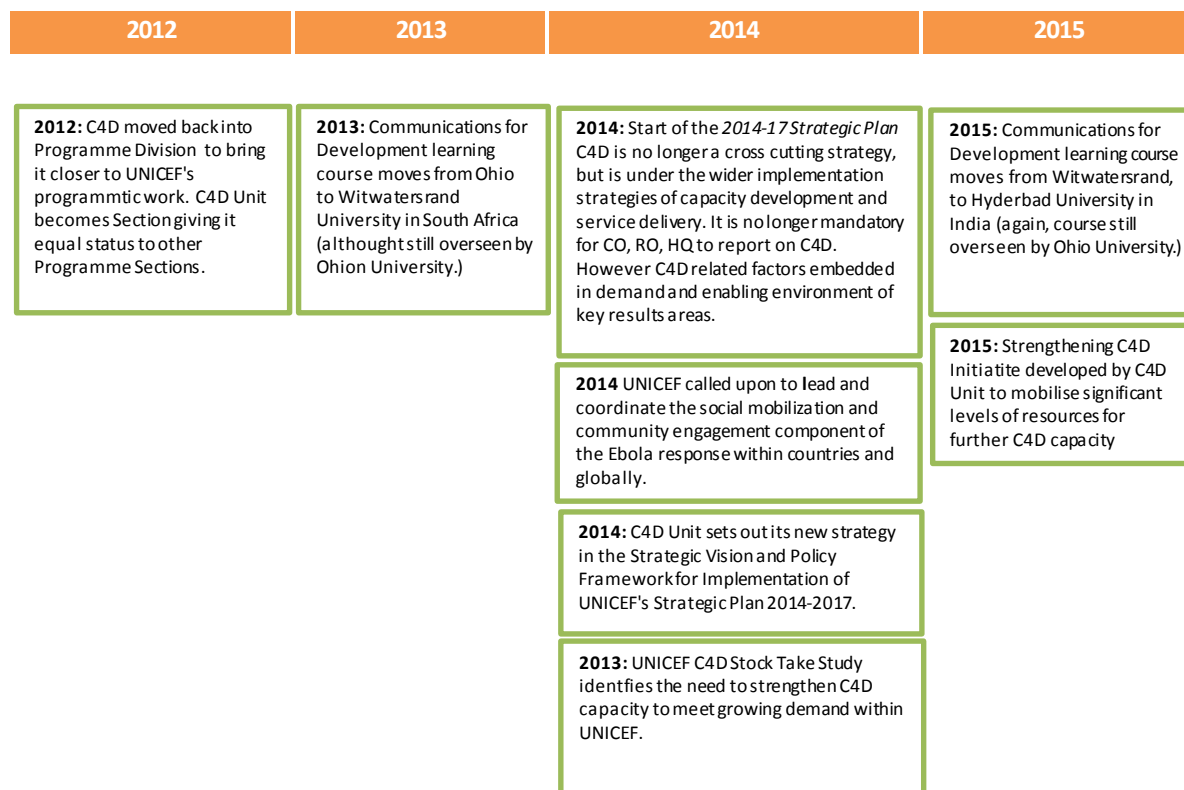
3.2 The evolution of C4D in UNICEF

The beginning of C4D in UNICEF cannot easily be pin-pointed to a specific event or programme but is more a result of UNICEF's cumulative experience of applying a mixture of programmatic communication approaches over many decades. This long history of applying C4D has meant that UNICEF has established a core of expertise in behaviour change communications and has become a recognised international leader in the field by peer agencies. The timeline below plots the key moments in the most recent history of C4D in UNICEF (Figure 2). It details the key internal and external events that have shaped the positioning and profile of C4D within the organisation over the past 10 years.

Figure 2: Timeline of the key moments in the evolution of C4D in UNICEF²⁸

2005 - 2006	2008	2009	2010	2011
2005: UNICEF plays a lead role in behaviour change communication and social mobilisation for Avian and Pandemic Influenza.	2008: MTR of UNICEF's 2006-2013 <i>Medium Term Strategic Plan</i> identifies C4D as a cross cutting strategy central to achieving results across all UNICEF's sectors. Reporting on C4D becomes mandatory at all levels of the organisation.	2009: Development of <i>C4D Position Paper</i> which further clarified role of C4D in programmes, policy and advocacy and humanitarian action.	2010: Office of the Executive Director allocates \$1.5 million USD for C4D capacity development efforts across UNICEF.	2011: Start of the <i>Communications for Development learning course</i> run by Ohio University.
2006: UNICEF Organisational Review & 2007 Global Consultation on Communication for Behaviour and Social Change help further raise profile of C4D across UNICEF and build consensus on core C4D principles and practice.	2008: UNICEF 'Communication Programme' or 'Social Mobilisation' is re-named 'C4D'. C4D technical unit established at HQ to support integration across the organisation. C4D moves from Programme Division to Division of Policy and Practice and C4D brought together with Gender, Human Rights, Adolescents under a newly formed Section called 'Gender, Rights and Civic Engagement'	2009: UNICEF's landmark global C4D network meeting in Cairo generates strong organisational interest and commitment to strengthen C4D capacity and action.	2010: Start of <i>Advances in Social Norms and Social Change course</i> run by the University of Pennsylvania.	2011: C4D Webinar series rolled out in collaboration between C4D Unit and Programme sectors (ends in 2013.)
	2008: C4D Unit launch UNICEF <i>C4D Strategic Framework and Plan of Action 2008-2011</i> and UNICEF <i>C4D Capability Development Framework 2008-2009</i> which provide framework and guidance for capacity development and action across	2009: Development of C4D accountabilities for NYHQ, regional and country levels along with job descriptions for C4D roles.	2010: Global Consultant Web Roster launched for individual level short-term/ surge capacity needs.	
			2010: First meeting of C4D trainers and facilitators to agree on harmonised content and technical standards.	

²⁸ UNICEF (2014) Communication for Development Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014–17, UNICEF C4D Section, New York; UNICEF (2014) Strengthening C4D in UNICEF for Enhanced Results for Children, 2015 -2017, Institutional



3.3 Key initiatives to build UNICEF's C4D capacity

A central focus of this evaluation is on the significant investment that has been made by UNICEF to strengthen its internal C4D capacity and to understand how effective this has been. In this section, an overview is provided of the main interventions that have been used to strengthen UNICEF's internal capacity. As is detailed in Table 3, some are directed at building the capacity of individuals, others are around shaping the wider organisational environment so that C4D is seen as a priority.

Table 3: Core interventions used by UNICEF to build internal C4D capacity²⁹

C4D capacity development strategy	Description of the strategy
Global C4D training courses	The Communication for Development Learning Course , managed by Organisational Learning and Development Section (OLDS)/DHR in coordination with the C4D Section HQ, and run by the Ohio University (henceforth the Ohio course) was launched in 2011. It aims to 'build a critical mass of development professionals in

Investment Options, v28.July.2014; UNICEF (2014) Stock-take of C4D at UNICEF: Analysis and recommendations. UNICEF C4D Section, New York, NY.

²⁹ Alongside these core capacity building strategies, UNICEF has also delivered a range of other sector specific C4D capacity development activities, particularly in Polio. While the evaluation has collected evidence where possible, they have not been the core focus of data collection and analysis. The focus has been those capacity development activities that were part of the overall C4D capacity development framework developed by NYHQ.

	<p>UNICEF who are equipped with relevant knowledge, skills and tools to address socio-cultural determinants of UNICEF programmes and humanitarian actions through the use of C4D.³⁰ The course provides competency-based blended learning opportunities for UNICEF staff members responsible for C4D programming. It combines a three-month online component with a two-week face-to-face workshop that includes a practical case study with a local NGO where participants design a C4D strategy. There is assessment and feedback throughout. The course is built around three main areas: introduction to C4D; behavioural and social change theories; and C4D research, M&E. To stimulate regional capacity development, the course, previously conducted out of Ohio, was implemented in South Africa at the University of Witwatersrand in 2013 and the University of Hyderabad in India in 2016.</p> <p>Advances in Social Norms and Social Change, managed by OLDS/DHR in coordination with Child Protection Section, and run by University of Pennsylvania (henceforth the UPenn course) was launched in 2010. It aims to provide UNICEF and partnering UN staff with the necessary knowledge, understanding, conceptual and practical tools, to address social norms and achieve social change for children in a variety of environments and cultures.³¹ The course runs over two weeks, is residential, and combines lectures and facilitated small group discussion. It covers a wide range of topics including: norms creation and change; power analysis and social norms; and social networks. Case studies are used throughout the course to help bridge theory and practice and there is an end of course assessment. While commissioned and run by child protection, the UPenn course is seen as complementary to the Ohio course.</p>
Country and regional C4D training and on the job workshops	As part of its efforts to provide locally relevant training, UNICEF ROs and COs, with HQ support, have run 3–5-day long workshops for staff and partners at regional, national and subnational levels on an as-needed basis. These have focused on context specific application of C4D skills and are generally run by a panel of vetted C4D trainers and facilitators. From 2010, it is estimated that over 70 learning workshops have been held in more than 45 countries and regions reaching over 2000 staff members and partners. ³²
Webinar series on C4D	The webinar series was developed between 2010 and 2011 and implemented through 2013. They included a generic C4D webinar and webinars applied to different themes: i.e. malaria, breastfeeding. Their purpose was to promote a common understanding of how C4D and to provide technical assistance to colleagues in integrating C4D principles in their programmes. The webinars were facilitated in coordination with the programme sectors, regional offices and country offices, and often included the participation of partners. It is estimated that the webinars reached over 600 people in 77 countries. ³³ They were discontinued in 2013 due to lack of resources.
Technical guidance and standards on C4D	To support staff in the application of C4D strategies a wide number of technical guides have been produced. These cover a wide range of issues and sectors including: a resource pack on M&E of C4D; a toolkit on how to implement behaviour change communication in emergencies; a guide on communication strategies for Maternal, Newborn and Child Health (MNCH); and guidelines on immunisation campaigns .
C4D knowledge management platforms	UNICEF also invested in creating online platforms that provide repositories of knowledge on C4D and facilitate the sharing of learning. This includes: a C4D Facebook group and Yammer group; a C4D UNICEF intranet site and website; and a UNICEF C4D trainers' toolbox. Knowledge exchange has also been supported through C4D network meetings at regional and global level.
Internal advocacy around C4D	UNICEF also invested in advocating for the inclusion of C4D into core UNICEF policies and processes and working with senior managers, leaders and policy makers in the organisation to raise awareness and understanding of how C4D. Advocacy activities have ranged from preparation of briefing notes on the role and contribution of C4D to development results, to participation in high-level gatherings such as Regional Management Team meetings, Deputy Representative and Operation Chiefs (DROPs) meetings and network meetings. ³⁴

³⁰ UNICEF (2009) Concept Note: UNICEF Learning Course on Communication for development, UNICEF, NY, US.

³¹ Terms of Reference.

³² UNICEF (2014) Background Note: Strategic Directions on Communication for Development Capacity Development, 2014–17.

³³ UNICEF (2013) Evaluation of the Webinars, C4D Unit.

³⁴ Ibid.

In addition to these capacity development initiatives UNICEF has also started to roll out a wider set of training on C4D such as the course on Behavioural and Communication Strategies for Global Epidemics: Focus on Polio and Ebola developed in collaboration with New York University; and the collaborative arrangement with Malmo University for an online C4D accredited course linked to their Master's programme that is offered to UNICEF staff at a discounted institutional rate. While these courses/ workshops/learning platforms are not formally within the scope of the evaluation, some evidence on their effectiveness has been collected as staff that engaged with the desk review and country case studies have referred to them tangentially.

4 Methodology

4.1 Evaluation design

The evaluation is formative³⁵ and focused on identifying improvements and learning on C4D. It is also theory based and built around testing the theory of change that underpinned UNICEF's efforts to build capacity and integrate C4D in programming. The evaluation used case studies and desk reviews to explore and compare how UNICEF's theory of change for C4D capacity development and integration played out in a sample of 25 countries. The following section provides details on the main elements of the evaluation design.

4.1.1 Theory of change for C4D capacity and action

In 2010 UNICEF did not have an explicit theory of change that presented its thinking and assumptions around how C4D capacity would be built and how this would lead to better integration. The evaluation team therefore had to recreate one. This was done during the inception phase through reviewing past C4D strategies and plans³⁶ and discussions with the Evaluation Office and key UNICEF stakeholders involved in C4D.

Through discussion and document review, the evaluation team distilled **three** core elements, or causal links, in UNICEF's overall theory of change for C4D capacity and action:

1. That through a suite of internal capacity development initiatives delivered off-site as well as at NYHQ, regional and country level, individual's C4D knowledge, skills and practices would be improved and an organisational environment created (senior champions, adequate staffing etc.), that supports and incentivises the application of C4D (**capacity**).
2. With staff having the right skills and knowledge and an enabling organisational environment in place, C4D would be consistently **integrated** into the structures, plans and reporting of offices at global, regional and country level, which would lead to high quality C4D programmes being **implemented** at the country level.
3. Over time, high quality C4D programming would deliver positive **behaviour changes** and shifts in social norms and eventually this would have a positive impact on the lives of women and children.

A more detailed visual representation of this theory is detailed in Figure 3 below.

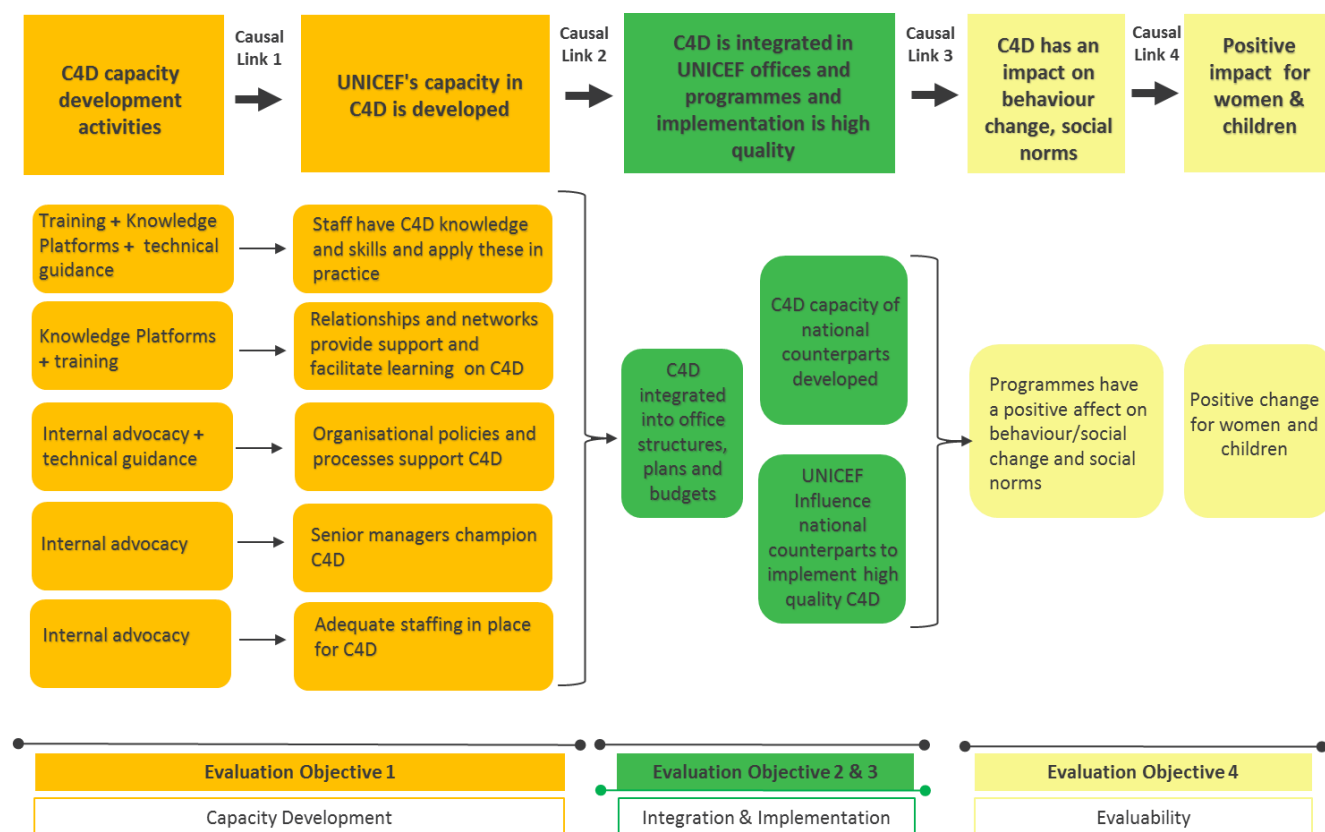
As well as surfacing the underlying logic of UNICEF's efforts to build C4D capacity, the theory of change provides an overall organising framework for the evaluation. As such, it helps bring coherence to the focus areas, objectives, and evaluation questions. As illustrated in Figure 3 the

Figure 3: UNICEF's theory of change for C4D capacity and action

³⁵ A formative evaluations involve the systematic collection of information to aid decision-making during the planning or implementation stages of a programme. They are generally process oriented.

³⁶ Key documents consulted included: UNICEF C4D Strategic Framework 2008–11; UNICEF C4D Capability Development Framework (C4D-CDF); Position Paper on C4D and Institutional Pathways to Strengthening Results for Children through C4D.

four evaluation objectives and three focus areas map onto the three main causal links in the theory of change. Likewise, as detailed below in section 4.1.2, so too do the evaluation questions.



While each causal link in the theory of change is covered in the evaluation, they were not covered with equal depth. The bulk of the data collection and analysis was around the first and second links, internal **capacity development** and **integration**. The second part of link 2 and link 3 and 4 – **implementation** and **evaluability** – was looked at, but in less depth. This is because of the methodological challenges and resource limitations of robustly analysing the quality of on-the-ground implementation and evaluating the impact of C4D on behaviour change and ultimately women and children.

4.1.2 Evaluation questions

Table 4 presents the key or core questions that guided the evaluation. They are grouped according to the three links in UNICEF's theory of change for C4D capacity and action: capacity development, integration/implementation and evaluability (See following sub-section). The last question (EQ14) does not link to the theory of change, but is rather an overall synthesis question.

Table 4: Evaluation questions

C4D capacity development
<ul style="list-style-type: none"> How coherent and appropriate is UNICEF's organisational C4D Capacity Development Framework?³⁷ How effective has UNICEF's technical guidance³⁸ on C4D been in providing support and direction to those involved in C4D programming? How effectively does it integrate cross-cutting issues such as human rights, gender equality and equity? To what extent have the overall results (goals and objectives) of UNICEF's organisational C4D Capacity Development Framework been realised?³⁹ What factors have supported / hindered the achievement of results in terms of capacity strengthening? To what extent were the C4D capacity development initiatives⁴⁰ <i>relevant</i>? To what extent were concerns for <i>economy</i> and <i>efficiency</i> part of the design and implementation of the C4D capacity development interventions? To what extent have the C4D capacity development initiatives been <i>effective</i>? What are the factors that could undermine the sustainability of the results that have been achieved from the capacity development interventions?
C4D integration and implementation
<ul style="list-style-type: none"> How far has C4D been integrated into office structures, strategies, plans and resourcing at global, regional and country level? Is the level of integration and coverage sufficient and consistent enough to meet programming requirements for different types of countries? What has been the experience of implementing C4D approaches at the country level especially in countries which have invested relatively heavily in both C4D capacity development and C4D programming? To what extent have the benchmarks for C4D implementation been applied? What is UNICEF's experience and what key lessons can be drawn from C4D capacity development initiatives of counterparts at the country level?
C4D evaluability
<ul style="list-style-type: none"> What is the potential for assessing C4D interventions impact in various settings in the future?
Conclusions, lessons and recommendations
<ul style="list-style-type: none"> What conclusions, lessons and recommendations can be drawn for the future, to the extent required, (a) for better capacity development; (b) for stronger and systematic 'mainstreaming' of C4D; (c) for improved implementation; (d) for stronger planning, monitoring and management of C4D activities; and (e) for conducting rigorous outcome and impact evaluations of results to which C4D interventions have contributed?

³⁷ UNICEF does not have a single strategy or framework for C4D capacity development, however the Terms of Reference highlight the following documents as key: UNICEF C4D Strategic Framework 2008–11; UNICEF C4D Capability Development Framework (C4D-CDF); Position Paper on C4D. During the inception phase it was confirmed with the C4D Section that these constitute the C4D capacity development framework

³⁸ The definition of Technical Guidance used in the evaluation is: written documentation such as: toolkits, guides, and manuals.

³⁹ There is no formal overall goals and objectives for UNICEF's organisational capacity development framework. The evaluation team therefore extracted the outcomes from the C4D Strategic and Plan for Action 2008–12 that are capacity development focused, and has assumed these are the best representation of what the goals and objectives of UNICEF's C4D capacity development efforts were. This understanding was discussed and validated with staff from the C4D Section and the EAG. The evaluation team have identified five overarching objectives. These are represented as sub-evaluation questions in the evaluation matrix. They are also reflected in the theory of change as the five outcomes under capacity development.

⁴⁰ The core C4D capacity development interventions include: the UNICEF-Ohio University Learning Programme on C4D, University of Pennsylvania course on Social Norms, 3–5 in-country and on-the job learning workshops, C4D webinar series and C4D knowledge platforms and web-based resources.

During the inception phase the evaluation questions were reviewed and a number of revisions made to those that were presented in the original terms of reference. In general, the changes were either to: (1) ensure greater clarity in the question being asked; or (2) to remove overlap with other evaluation questions.

To help the team operationalise the evaluation questions, a number of sub-questions were developed. These provided the specific lines of enquiry that were pursued through data collection and analysis. For each sub-question a series of indicators, data sources and data collection methods were identified. Details of these are contained within the Evaluation Matrix in Annex 2.

A number of OECD-DAC criteria were incorporated into the evaluation, including relevance (EQ4), efficiency (EQ5), effectiveness (EQ6) and sustainability (EQ7). These were used in assessing UNICEF's C4D capacity development efforts and other issues covered by the evaluation, as relevant.

4.1.3 Case-based approach: desk reviews and country case studies

The evaluation takes a case-based approach with case studies of 25 UNICEF country offices providing the main data source for the evaluation. 20 of these were analysed through desk review and five through country visits. Through the comparative analysis of how C4D has been integrated in these 25 UNICEF country offices, the evaluation questions were explored and the theory of change was tested. The following list of 25 countries was selected during the inception phase based on a sampling strategy which ensured that a range of country contexts were present to understand different contextual factors, such as the country's income status, the size of its C4D team, numbers of staff members participating in C4D training, expenditure on C4D etc. Efforts were also made to ensure balanced representation from across UNICEF's regions. The 20 that were reviewed through desk reviews and the five for country visits are listed in Table 5 below. Detailed justifications for how and why each country was selected can be found in Annex 3.

Table 5: Countries selected for desk review and country case studies

Unit of analysis	Countries selected
20 desk review countries	Azerbaijan, Turkey, Myanmar, Fiji, India, Nepal, Sierra Leone, Liberia, Niger, Chad, DRC, Kenya, Mozambique, Somalia, Sudan, Egypt, Jordan, Ecuador, Haiti, Nicaragua
5 country case studies	Kyrgyzstan, Vietnam, Bangladesh, Nigeria, Ethiopia

4.2 Data collection and analysis

4.2.1 Data collection methods and tools

Data collection took place between December 2015 and June 2016 and was conducted at the NYHQ, regional and country level. The tools used along with the stakeholders engaged are detailed below and summarised in Table 6.

Table 6: Summary of data collection tools used and stakeholders / units engaged at global/HQ, regional and country level

Level	Data collection tools	Relevant stakeholders / units engaged through the evaluation, grouped by level
NYHQ	For NYHQ: <ul style="list-style-type: none"> • Document review • Key information interviews For <i>global C4D training courses</i> : <ul style="list-style-type: none"> • Document review • Key information interviews • Global capacity development survey 	<ul style="list-style-type: none"> • Programme Division, including: GRaCE, sector sections and C4D Section • Human resources / OLDS • Data, Research and Policy Division (Evaluation Office) • Designers / managers of C4D capacity development interventions • Facilitators / trainers on C4D capacity development courses • Past participants of global UNICEF C4D training courses
Regional	For <i>seven regional offices</i> : <ul style="list-style-type: none"> • Document review • Key informant interviews 	<ul style="list-style-type: none"> • Regional and deputy regional directors • Regional C4D advisors / focal points • Technical/sector advisors (where appropriate)
Country	For desk reviews: <ul style="list-style-type: none"> • Document review • Key informant interviews • Desk review survey For country case studies <ul style="list-style-type: none"> • Document review • Key informant interviews • Desk review survey • Focus group discussions • Global capacity development survey 	<ul style="list-style-type: none"> • Country and deputy country representative • C4D advisors / focal points • M&E specialists / officers • Country and Deputy Country Representative • Technical leads / specialists • Chief of communications • Section chiefs • Communications specialists • C4D specialists / focal points (both at national and subnational levels) • External consultants / technical advisors on C4D • Facilitators / trainers on C4D capacity development courses • National partners (government and NGO)

At the NYHQ level the focus of data collection was on the extent to which C4D has been integrated into global plans, policies and processes and the coherence of the overall UNICEF C4D Capacity Development Framework. We interviewed 23 staff from across UNICEF HQ. This included senior staff from the C4D Unit, Evaluation Office, Programme Division, External Communications and Organisational Learning and Development Section (OLDS). Interviews were conducted both face-to-face during a trip to NYHQ and on the phone/Skype. Where necessary, follow-up interviews were arranged with NYHQ stakeholders in later phases of the

evaluation to clarify issues emerging from data collection. All interviews followed a pre-determined question guide developed for different categories of informants. In addition, a wide range of core UNICEF global policies, plans and strategies that related to C4D were reviewed (see Annex 4 for a list of references).

- At the HQ level data was also collected on UNICEF's efforts to build internal C4D related capacity through global C4D initiatives such as the Ohio and UPenn courses. Data was collected through an online global capacity development survey that was sent to all past participants of both courses since 2010. Of the 480 people that the survey was sent to, 237 responded (a response rate of nearly half – 49.4%). The survey (see Annex 5) asked 31 questions covering a range of issues related to the relevance of the Ohio and UPenn courses, their contribution to individual's C4D knowledge and practice and the barriers and enablers of this. The survey also asked respondents about their use of UNICEF's C4D technical guidance and knowledge platforms. To supplement the survey, phone interviews were conducted with the directors of both the Ohio and UPenn courses and UNICEF staff that were involved in the commissioning and management of the courses.

At regional level data was collected on the extent to which C4D had been integrated into regional office plans and human resourcing. Phone interviews were conducted with all seven UNICEF's regional offices during inception, and later in the evaluation for relevant follow-up. In those ROs where there was a C4D advisor or specialist, they were interviewed; in others, the communications lead was interviewed. Again, all interviews followed a re-determined interview guide. Interview data was supplemented with a review of key RO level documents related to C4D.

- At **country level** our approach to data collection varied between desk reviews and country case studies.
- The focus of the **desk reviews** was on collecting consistent data on C4D integration and evaluability across 25 COs. This involved detailed review of key CO level documents such as Country Programme Documents and results frameworks, and phone interviews with the representative or deputy representative, the C4D lead and the M&E officer. This was supplemented with an online survey (see Annex 6) sent to all 25 country offices. This had a combination of 33 closed and open-ended questions. In all cases the survey was signed off by the deputy representative and represented the CO's formal response to the evaluation. All 25 COs responded. A standardised template was used to write up the 25 desk reviews. This aided cross case analysis.
- The five **country case studies** were more in-depth exercises. They built on the desk review, but their scope was wider and covered: the relevance, effectiveness and sustainability of UNICEF's country, regional and global C4D capacity development initiatives at the level of the CO; the level of C4D integration in CO strategies, plans and resourcing; the experiences and lessons from implementing C4D programmes; and the evaluability of C4D interventions. Each case study involved members of the evaluation team spending five working days in country. Data was collected through a combination of focus groups and face-to-face interviews with UNICEF staff such as section chiefs, C4D chiefs/specialists, representatives and deputies and a range of government and NGO partners (see Annex 7 for a complete list

of all the stakeholders engaged through the evaluation). Each country case study also included a field trip to at least one UNICEF-supported C4D intervention. This helped the team understand how C4D interventions functioned in practice. In all cases, the C4D interventions visited were included in the sample of programmes that were looked at through the evaluability assessment. Detailed terms of references and data collection protocols were developed for each of the country trips. This included activities for running focus groups and questions for specific groups of informants. The Ethiopia country visit was used as an opportunity to pilot all of the country case study data collection tools and protocols. Each case study was written up as a stand-alone country report which was validated with the UNICEF country office.

4.2.2 Data analysis

Our approach to data analysis was built around the different components of the evaluation: capacity development, integration, implementation, and evaluability.

A. Capacity development was assessed in terms of individual's C4D capabilities and shifts in the wider organisational environment that support C4D.

The Kirkpatrick model was used to structure the assessment of how much capacity development initiatives had affected individual's C4D knowledge and practices and how this had in turn influenced the quality of C4D implementation.⁴¹

The global capacity development survey was structured around the Kirkpatrick model. The survey asked respondents to indicate on a five-point scale their level of C4D knowledge and practice before attending UNICEF-led or sponsored C4D training and after. Respondents were then asked to indicate the relative contribution of different C4D capacity development initiatives (including non-UNICEF courses) to these changes. This allowed us to assess the extent to which C4D knowledge and practices had changed over time and the relative contribution of different training courses to this. This analysis was supplemented with data from the country case studies, including the views of peers and line managers of those that had attended past C4D courses and post-training evaluations.

The evaluation also looked specifically at the C4D technical guidance that had been produced by UNICEF, how staff had used it and how effectively it integrated cross-cutting principles such as gender, participation, equity and human rights. Our approach to the latter involved developing an assessment framework, which was applied to each document to assess how effectively each cross-cutting principle had been reflected in the technical guidance using a four-point scale. (See Annex 8.)

At the organisational level the focus was on assessing the integration of C4D into core UNICEF policies and processes, the creation of C4D champions, the mobilisation of human resources to support C4D and assessing how effectively HQ and RO were delivering on their C4D accountabilities. Across each of these issues, analysis relied on bringing together

⁴¹ Guskey, T. (2000). *Evaluating Professional Development*. Thousand Oaks: Corwin.

interview, focus group and documentary evidence from the global, regional and country levels.

- B. Integration** was assessed at the HQ, regional and country level. At HQ level and regional level, interview data was brought together with document review and mapped against a series of sub-evaluation questions. At the country level, given the much wider data set- 20 desk review and five country case studies – rating frameworks/scales were developed to ensure consistency in how data was analysed and judgements made. The frameworks also structured the synthesis of evidence across the 25 countries and helped identify patterns in the data, as well as outlier COs.

A framework was used to assess C4D integration at the country level. The framework unpacked C4D integration into four main components: integration of C4D into CO **strategy, planning, monitoring and reporting**, and **human and financial resources**.

For each of these components, indicators were defined that guided reviewers in what data to look for, and a four-point scale (from low to high) was used to inform the overall judgement on the extent of C4D integration. (For full criteria used for ratings see section 6.2.) In all cases, the assessments were peer reviewed and validated by the team leader to ensure consistency.

- C. For assessing implementation of C4D through country programmes**, another framework was used related to five C4D benchmarks.⁴² These are a voluntary tool developed by NYHQ for country offices to use to monitor and report on the quality of C4D implementation and which provided the evaluators with a proxy for the quality of C4D implementation.

For each benchmark means of verification were identified. This included documentary evidence such as plans, meeting minutes and reports, and perception-based data from interviews with key country-level stakeholders such as C4D specialists, country representatives, etc. The evidence was then reviewed and a judgement made on the extent to which the benchmark had been met on Red-Amber-Yellow-Green scale (for full criteria used for ratings see Annex 9). All assessments against the benchmarks, were shared within the team for cross-checking and validation.

- D. Data on evaluability** was collected and analysed across the 25 desk review and country case studies. The approach to assess evaluability focuses on two main issues:⁴³
1. The extent to which it is possible to evaluate the programme **in principle**. This relates to whether the underlying logic of the programme is clear and, in the context of this evaluation, specifically whether the contribution of C4D is clearly articulated.

⁴² The C4D benchmarks that were included in the consultants' terms of reference included six, rather than five. The missing benchmark (number 1 in the original list) relates to the extent to which C4D strategies are integrated into country programme structures, results frameworks and sector plans and is therefore addressed throughout this report. It is: 'C4D strategies are integrated within the country programme structure and results framework; and sectoral or cross-sectoral plans with budget allocations'. This benchmark was extracted to ensure greater conceptual clarity in our tool and ensure there was a clear distinction between what the consultants consider integration, and therefore measured through our C4D Integration Assessment Framework, and what constitutes implementation, and therefore measured through our C4D Benchmarking Assessment Framework.

⁴³ ODI (2015) Evaluability Assessment for Impact Evaluation: Guidance, Checklists and Decision Support, Methods Lab, April 2015, UK; DFID (2013) Planning Evaluability Assessments: A Synthesis of the Literature with Recommendations, Working Paper. 40, October 2013, DFID, UK.

2. The extent to which it is possible to evaluate the programme **in practice**. This relates to whether the data that is needed to conduct an evaluation is being collected and is of sufficient robustness. Again, given the focus of this evaluation, particular emphasis will be put on understanding the nature of the data that is being collected specifically on C4D activities and behaviour / social change related results.

For each component of the evaluability assessment indicators (see section 8.1) were defined and a rating scale developed to judge the extent to which the intervention is ready to be evaluated (for full criteria used for ratings see Annex 10).

4.3 Evaluation management

The evaluation was conducted by a team from Itad⁴⁴ recruited by UNICEF's Evaluation Office (EO) in New York. Direct supervision for the evaluation was provided by a senior evaluation officer⁴⁵ at the EO, supported by two evaluation specialists in the EO.⁴⁶ The EO was responsible for the day-to-day management of the evaluation, its quality and independence and follow-up on the management response. An Evaluation Advisory Group (EAG)⁴⁷ provided overall guidance to the evaluation. This brought together a mix of UNICEF managers and advisors as well as outside experts. The EAG contributed to the conceptualisation and design of the evaluation, provided comments on all outputs, advised on internal and external stakeholder to consult and played a role in learning and knowledge exchange regarding the evaluation findings. Each country case study was also overseen by a national evaluation reference group or by an evaluation committee whose responsibility was to review the draft reports and take forward the recommendations.

4.4 Ethics

The evaluator team adhered to clear ethical evaluation standards in line with Itad's policies, UNICEF's ethics procedure⁴⁸ and those of the United Nations.⁴⁹ These include: a fair assessment and disclosure of findings, facilitated by the transparent evaluation approach taken; strict compliance with obligations and agreements, combined with a focus on the client's needs; and adherence to good practice when interacting with stakeholders.

At all times during data collection informants were asked for their informed consent. Confidentiality has been ensured throughout the evaluation through anonymising all quotes and references both in the case study reports and the final synthesis report. At all stages of the evaluation, those that had a vested interest in the findings have also been offered opportunities

⁴⁴ Mary Myers (Team leader), Rob Lloyd (Project manager and team member), Birgitte Jallof (team member), and Greg Gleed (team member).

⁴⁵ Krishna Belbase.

⁴⁶ Abdoulaye Seye and Tina Tordjman-Nebe.

⁴⁷ The EAG consisted of the following UNICEF staff members: Chander Badloe, Regional Adviser – WASH, EAPRO; Natalie Fol, Regional Advisor ADAP, ROSA; Waithira Gikonyo, Senior Learning Officer, OLDS, DHR; Sherine Guirguis, Senior C4D Specialist, Health Section, PD; Inoussa Kabore, Regional M&E Chief, WCARO; Neha Kapil, Chief C4D, Bangladesh CO; Kerida McDonald, C4D Advisor, C4D Section, PD; Francesca Moneti, Senior Advisor, Child Protection Section, PD; Rafael Obregon, Chief, C4D Section, PD; and Susana Sottoli, Associate Director, PD.

⁴⁸ UNICEF Procedure for Ethical Standards in Research, Evaluation, Data collection and Analysis, 1 April 2015, DRP, UNICEF: New York.

⁴⁹ UNEG Ethical Guidelines: <http://www.unevaluation.org/document/detail/102>

to input and comment, both on design documents and final outputs. Where possible and appropriate their comments and concerns have been taken into account. Because of the focus of the evaluation there has been limited direct engagement with children and their families, other than through the brief field trips that were organised as part of each country study.

4.5 Limitations

The evaluation faced a number of limitations:

- First, in the absence of existing baseline data on the level of staff knowledge, skills and practices around C4D data had to be collected retrospectively. To address the biases that this approach can introduce (e.g. respondents may over estimate their past competency levels) the questions were asked in such a way as to aid respondents to locate themselves at a specific point in time.⁵⁰ The question was phrased to make specific reference to what the respondents' skills and capacities were like before UNICEF started to invest heavily in building capacity in C4D.⁵¹
- Second, the use of the global capacity development survey as a core instrument for collecting data on changes in individual's C4D skills, knowledge and practices meant that the evaluation was heavily reliant on self-assessment. To address the biases associated with this, efforts were made to triangulate the survey results with other data sources. For the Ohio and UPenn courses, data was available from the post-course evaluations on participants learning. Similar data is not available for the webinars and in-country training workshops. At the level of country offices, the desk reviews and country studies were used to triangulate the survey results further. The approach was to speak with a range of stakeholders in the country office to gather perceptions of whether those that have attended training courses demonstrated good knowledge and practices in C4D. This evidence was then analysed to see whether it either corroborated or contradicted the pattern of staff capacities within a particular country context that emerged from the survey results.
- A third limitation relates to the evaluation's ability to meaningfully assess C4D implementation. Although the evaluation has been able to trace the effects of training and other capacity development initiatives to changes in individual's knowledge and practice, it has not been able to robustly test whether changes in practice have contributed to higher quality C4D implementation, that is, better contextualisation of C4D programmes because of the use of evidence, more meaningful engagement of communities in the design and implementation of a programmes etc. While the evaluation has been able to collect anecdotes on how, for example, staff have used evidence more effectively in the design of an intervention, or designed better C4D indicators, it has not been able to validate whether this has had a positive impact on how the programme was implemented. For example, whether

⁵⁰ Bamberger (2010), *Reconstructing baseline data for impact evaluation and results measurement* and Bamberger (2009), *Strengthening the evaluation of development effectiveness through reconstructing baseline data*, Journal of Development Effectiveness. Volume 1 No. 1 March 2009.

⁵¹ The exact wording of the question was: 'In your best estimate, please indicate your level of C4D knowledge in the following technical areas before you attended any UNICEF led or sponsored C4D training or workshops.'

the better use of evidence did in fact produce more tailored and contextually relevant messages or whether the indicators did in fact allow C4D to collect better evidence on its contribution to behaviour change. To do this would have required selecting a sample of C4D programmes that C4D staff who attended training were working on, and testing in detail how implementation was happening in practice. The evaluation lacks the resources to undertake such an analysis.

- Finally, the approach taken to selecting specific C4D programmes for the evaluability assessments, may suffer from a positive bias. While the evaluation sought to apply a robust set of criteria for selecting each programme for review, we made the selection in collaboration with COs to ensure programmes were chosen that were of strategic relevance and high profile. Arguably, these are the types of programmes that are most likely to have invested resources into M&E and therefore better M&E systems. The fact that four of the ten programmes reviewed had impact evaluations running alongside them is illustrative of this. As such, there are possibly limitations to what can be extrapolated from the findings around the evaluability of specific C4D programmes.

5 Assessment of C4D capacity development initiatives

KEY FINDINGS

- UNICEF's organisational C4D Capacity Development Framework⁵² has provided an appropriate and relevant strategy for capacity and action since 2008. However, it has not kept pace with internal developments and a revised strategy is needed that reflects the new challenges and needs of the organisation.
- The use of global courses to build internal C4D capacity has been an appropriate strategy for UNICEF to pursue. Given the level of internal capacity when the Ohio and UPenn courses started and the scarcity of adequate training opportunities at decentralised level in most regions, centralised global C4D training programmes has enabled UNICEF to keep close oversight of course content and quality. This was necessary to build a common C4D language in UNICEF.
- UNICEF's investment in developing staff capacity in C4D has led to notable improvements in knowledge and practice. The contribution of the Ohio and UPenn courses to this has been notable. That said, the costs of both courses prevent them from being continued indefinitely or significantly scaled up and there has been inadequate attention paid to creating synergies between the courses and communicating them as an integrated training package on C4D. Country and regional-level trainings have also played an important role, although too often these are delivered as stand-alone activities rather than as part of a longer-term capacity development programme; this has limited their effectiveness. Whether regional training is available to COs also varies considerably between ROs. In addition, UNICEF's technical guidance on C4D has been effective in providing support and direction to those involved in C4D programming; it integrates cross-cutting issues of participation and gender equality well and provides detailed guidance on how to operationalise these in different programming contexts, but is weaker on human rights and equity issues.
- Overall, an intensive effort of high quality capacity development has taken place over the last 4–5 years that has served to skill-up the majority of C4D staff members. However, UNICEF now needs to deepen staff's knowledge through more sector-focused courses in areas such as M&E for C4D and C4D for child protection, and expand the reach of its capacity development through building the C4D capacity of the wider staff-body at a regional/country level.
- Efforts to create an enabling organisational environment for C4D have had mixed results. While there have been successes in increasing overall C4D staff numbers, and establishing clear HQ accountabilities on C4D (which it is largely delivering on), attempts at creating champions among senior managers⁵³ has been mixed, as has creating sufficient C4D support for COs at the regional level. Particularly at the country level there is varied backing among section chiefs for C4D. A lack of a clear strategy for how UNICEF would engage senior managers has contributed to this. Likewise, many ROs have struggled to deliver effective support or provide regional leadership on C4D. This has been a result of an absence of C4D advisors in many ROs. The current effort to ensure Regional C4D advisors exist in each RO is therefore an important development.

⁵² UNICEF does not have a single strategy or framework for C4D capacity development, however the Terms of Reference highlight the following documents as key: UNICEF C4D Strategic Framework 2008–11; UNICEF C4D Capability Development Framework (C4D-CDF); Position Paper on C4D. During the inception phase it was confirmed with the C4D Section that these constitute the C4D capacity development framework.

⁵³ Senior managers is used in the evaluation to mean at CO level: Representative, Deputy Representative, section chiefs; at RO level: Regional Director and Deputy Regional Director; and at NYHQ level: Director, Deputy Director, and Chief.

5.1 Introduction

This section presents the findings from the analysis of UNICEF's efforts to build its internal C4D capacity. In assessing capacity, an assessment has been made as to whether initiatives have led to changes to individuals' C4D capacities (knowledge and practices), but also whether UNICEF has been able to shift the wider organisational context to support and enable C4D. Viewing capacity at these two levels was central to UNICEF's understanding of C4D capacity development.⁵⁴ UNICEF's main objectives in shaping the wider organisational environment were to: create senior champions of C4D who outline a vision and create space for investment in high quality C4D programming; strengthen overall staffing levels for C4D across the organisation; and establish clear accountabilities at HQ, RO and CO levels on C4D.⁵⁵ UNICEF's progress against each of these is assessed.

The findings in this section are underpinned by two main data sources: the global capacity development survey which was sent out to all past participants of the Ohio and UPenn courses (n=237), and the five country case studies in Bangladesh, Ethiopia, Kyrgyzstan, Nigeria and Vietnam. Where appropriate, this is supplemented with data from the desk review survey sent to 25 COs (including the case study countries), and interviews and document review at the HQ and RO levels.

The section is structured around the OECD-DAC criteria: First, there is a discussion on the relevance of UNICEF's C4D capacity development initiatives, including the appropriateness of the overall Capacity Development Framework (5.2), then, the effectiveness of the capacity development initiatives. This starts by looking at the extent to which there has been overall changes in C4D knowledge and practice during the period of the evaluation, then goes on to look at the effectiveness of the various C4D capacity development strategies that have been employed both at the individual and organisational levels (5.3). The third section reflects on the efficiency of the capacity development initiatives (5.4) and the fourth the sustainability of the capacity gains that have been achieved to date (5.5).

5.2 Relevance and appropriateness of C4D capacity development initiatives

5.2.1 UNICEF's C4D Capacity Development Framework

UNICEF's C4D Capacity Development Framework outlined a systematic approach to C4D capacity development that previously did not exist. While UNICEF does not have a single document outlining its C4D Capacity Development Framework three interrelated documents clearly outline the strategy: *UNICEF C4D Strategic Framework 2008–11*,⁵⁶ *UNICEF C4D Capability Development Framework*⁵⁷ and *C4D Position Paper*.⁵⁸ The *Strategic Framework* and *Position Paper* set the overall vision for UNICEF's capacity development efforts, while the

⁵⁴ This is detailed in C4D Strategic and Plan for Action 2008–12.

⁵⁵ C4D Strategic and Plan for Action 2008–12.

⁵⁶ UNICEF (2008), UNICEF C4D Strategic Framework 2008–11, C4D Section NYHQ, NY.

⁵⁷ UNICEF (2008) UNICEF C4D Capability Development Framework, C4D Section NYHQ, NY.

⁵⁸ UNICEF (2009) C4D Position Paper, C4D Section NYHQ, NY.

Capability Development Framework provides more of the operational detail and is more narrowly focused on individuals within the institution. For example, it identifies the C4D competencies needed at different levels of the organisation, and how these should be developed. Together these three complementary documents constitute the UNICEF C4D Capacity Development Framework (C4D-CDF).

The C4D-CDF emerged from a series of capacity assessments between 2006 and 2008 that found that staff working on C4D had rarely received formal training and the training that had been provided was rarely part of any longer-term strategy to grow and sustain C4D capacity internally. Although there were existing external courses on C4D the assessments also revealed that their lack of customisation to UNICEF limited their relevance.⁵⁹ With the growing profile of C4D within UNICEF around 2008–09 and the recognition of its importance to delivering results across the organisation, the C4D-CDF, for the first time, provided UNICEF with a vision for why and how to build C4D capacity internally, and a framework for structuring future action across the organisation. It was a relevant response to a well-defined need.

The C4D-CDF rightly emphasised that building individual capabilities was not enough and that an enabling environment was also needed. This was a major element of its implicit theory of change on how to build C4D capacity. An important aspect of the C4D-CDF was its recognition of the need to shape the wider organisational environment. The C4D-CDF emphasised the need not only to work with C4D practitioners, but also stakeholders such as deputy representatives and section chiefs who shape plans and resource allocation, and regional directors and, HQ section chiefs who set corporate policy and strategy.⁶⁰ In addition to this, the C4D-CDF also stressed the need to influence core UNICEF internal processes and guidance such as the Programme Policy and Procedure Manual (PPPM). While later sections of this report will raise questions about how effectively UNICEF has been able to influence the wider organisation environment, the recognition that sustainable capacity development required more than just building individual knowledge and skills in C4D was an important insight and arguably represents an implicit theory of change for capacity development. Moreover, it aligned well with existing evidence on capacity development that stresses the need to work at multiple levels of an organisation to build sustainable capacity.⁶¹

No plans existed for tracking the progress of the C4D-CDF. While the C4D-CDF outlined a clear vision for C4D capacity development in UNICEF, and to a degree the theory of how best to achieve this, it lacked the detail to be an effective device for managing the process of capacity development. Most notably, the C4D-CDF lacked clear measurable goals and objectives. It did set out an ambitious agenda for change but provided no way for UNICEF to track progress against the vision. These details were also absent from other planning documents. While the NYHQ C4D Unit states that it had broad targets around the number and mix of participants of

⁵⁹ UNICEF C4D Capability Development Framework.

⁶⁰ UNICEF's strategic directions on C4D capacity development, 2014–17, Background note.

⁶¹ See for instance: *Developing Capacity? An evaluation of DFID Funded Technical Cooperation for Economic Management in Sub-Saharan Africa*, Synthesis Report, EV667, June 2006, Page 49; *How Can Capacity Development Promote Evidence-Informed Policy Making?*, Evidence Review for the Building Capacity to Use Research Evidence (BCURE) Programme, Melanie Punton, Page 50, *Developing Capacity? An Evaluation of DFID-Funded Technical Co-operation for Economic Management in sub-Saharan Africa*, Synthesis, Oxford Policy Management Groups, p. 19.

attending the courses, these do not seem to have been recorded in any formal document or shared widely.

Although the C4D-CDF provided a clear strategy for C4D capacity development when it was first developed, it has not evolved alongside implementation. Since the C4D-CDF was first developed, there have been significant developments in thinking and practice around C4D capacity development in UNICEF. The value of the C4D-CDF was that it articulated the organisation's overall strategy for capacity development. This was valued by stakeholders.⁶² However, the C4D-CDF is now 8-years old⁶³ and viewed by many as an outdated set of documents.

In Ethiopia for example, the evaluation heard how C4D staff viewed the C4D-CDF as largely redundant given its age and more recent developments with the C4D agenda within UNICEF.⁶⁴ More recent documents, such as the *Strengthening C4D Initiative*, contain updates on UNICEF's most recent learning around C4D capacity development; however, there is a need to bring this thinking together into a new internal strategy. This thinking was also reflected at NYHQ level where there was recognition that the C4D-CDF had played an important role in framing the approach to past capacity development activities, but needed updating to align with more recent thinking and practice.⁶⁵ At regional level, at least among those RO that had C4D strategies and frameworks, there was a sense that regional-level document now played a more active role in guiding capacity development activities than the C4D-CDF, but that an updated global strategy would provide an important frame for regional action.⁶⁶

5.2.2 Global C4D training courses

The Ohio course responded to a clear organisational need within UNICEF for focused capacity development on C4D. The UPenn course responded to a need, but it was less clearly defined (for a reminder of the core details on each course see Table 7). The Ohio course emerged soon after C4D's inclusion in the 2006–13 MTSP as a cross-cutting programme strategy and the subsequent upswing in C4D recruitment following years of underinvestment.⁶⁷ With the rapid intake of C4D staff, a clear need emerged for a course that provided basic knowledge and skills in C4D⁶⁸ especially as there have been very few academic courses in the past in this area and that most staff had 'learnt by doing.' A core objective of the Ohio course was therefore to create a shared and a basic common level of understanding of what C4D meant to UNICEF and a set of tools and concepts for putting this into practice.⁶⁹ The course was also about establishing C4D as a respected discipline within UNICEF. Anchoring the training programme in a strong

⁶² Ethiopia case study.

⁶³ The UNICEF C4D Strategic Framework and C4D Capability Development Framework were both developed in 2008, while the C4D Position Paper was produced in 2009.

⁶⁴ Ethiopia case study.

⁶⁵ HQ key informant 6.

⁶⁶ RO key informant 1; RO key informant 2.

⁶⁷ HQ key informant 1.

⁶⁸ The interdisciplinary nature of C4D accentuated this need as it meant that new recruits often came from a diversity of professional background including journalists, radio, broadcasting and external communications.

⁶⁹ HQ key informant 1.

academic institution such as Ohio University was important for this as it showed that C4D was an established field grounded in robust theories and research.⁷⁰

While the Ohio course emerged in response to significant developments within UNICEF, this was less the case with the UPenn course which served a wider organisational purpose, beyond C4D. Between 2006 and 2010 there was a growing sense within UNICEF that while shifting social norms was central to creating lasting systems level change, the organisation did not have the internal capacities to either understand and diagnose them, let alone change them. Following internal research that raised the importance social norms⁷¹ and a series of internal workshops, the Child Protection Section started working with OLDS to design a training course that introduced UNICEF staff to the theory and practice of diagnosing, measuring and changing social norms.⁷² Similar to the Ohio course, the selection of an academic partner was important as it helped ensure social norms as a concept had credibility internally.

Table 7: Basic details on the two global C4D training courses

Communication for Development Learning Course (Ohio course)	Advances in Social Norms and Social Change (UPenn course)
Launched: 2011	<ul style="list-style-type: none"> Launched: 2010
Management: OLDS/DHR in coordination with the C4D Section HQ, and run by the Ohio University.	<ul style="list-style-type: none"> Management: OLDS/DHR in coordination with Child Protection Section, and run by University of Pennsylvania.
Aim: Build a critical mass in UNICEF who are equipped with relevant knowledge, skills and tools to address socio-cultural determinants of UNICEF programmes and humanitarian actions through the use of C4D.	<ul style="list-style-type: none"> Aim: Provide UNICEF and partnering UN staff with the necessary knowledge, understanding, conceptual and practical tools, to address social norms and achieve social change for children in a variety of environments and cultures.
Target: UNICEF staff responsible for C4D programming	<ul style="list-style-type: none"> Target: UNICEF staff and partnering UN staff
Course structure: Combines a 3-month facilitated online component with a two-week face-to-face workshop that includes a practical case study with a local NGO where participants design a C4D strategy. There is assessment and feedback throughout. Only those that attain	<ul style="list-style-type: none"> Course structure: The course runs over two weeks, is residential, and combines lectures and facilitated small group discussion. Case studies are used throughout the course to help bridge theory

⁷⁰ HQ key informant 2.

⁷¹ Joint UNICEF / UNFPA research on FGM in 2007 highlighting that UNICEF had been focusing too narrowly on individual behaviour in its efforts to tackle FGM to the neglect of wider societal factors such as social norms that shape and influence behaviour.

⁷² HQ key informant 3.

Communication for Development Learning Course (Ohio course)	Advances in Social Norms and Social Change (UPenn course)
a minimum standard for the online component can progress to the face-to-face workshop	and practice and there is an end of course assessment
Course content: The course is built around three main areas: introduction to C4D; behavioural and social change theories; and C4D research, monitoring and evaluation	<ul style="list-style-type: none"> • Course content: The course covers a wide range of topics including: norms creation and change; power analysis and social norms; and social networks

The technical content and the learning methodologies used in both the Ohio and UPenn courses have been well suited to the needs of UNICEF staff. Both the technical content and the learning methodologies used in the Ohio course were rated positively: 88% of past participants (n=127) reported that the technical content of the course responded to their needs to ‘a large’ or ‘very large extent’, while 80% indicated that the teaching methods were to a ‘large’ or ‘very large’ extent relevant to their learning needs. Participants particularly valued the blending of online discussion, with face-to-face interaction and practical fieldwork.⁷³ Fieldwork in particular allowed participants to ‘see how to apply theory into practice’,⁷⁴ to get ‘immediate feedback on the quality of their work’,⁷⁵ to ‘understand better what they had been reading about’,⁷⁶ and to ‘cement their new knowledge and skills’.⁷⁷ Likewise, the online discussion and the face-to-face engagement were valued by participants as they provided the opportunity to engage in discussion with peers from around the world,⁷⁸ exchange practices on C4D⁷⁹ and create new networks.⁸⁰

Past participants viewed the UPenn course even more positively. Some 97% of those surveyed (n=29) reported that the technical content responded to their needs to ‘a large’ or ‘very large extent’, while 96% said that the teaching methods were either to ‘large’ or ‘very large’ extent relevant to their learning needs. Interestingly, although not necessarily reflected in the headline finding, responses to the open-ended survey questions revealed that the academic nature of the course seems to split opinion; for some they valued the course for its academic rigour and

⁷³ Global capacity development survey: 44 out of 134 respondents indicated they valued the field work component; 42 out of 134 valued the opportunity for peer engagement and interaction; Bangladesh case study; Ethiopia case study; Kyrgyzstan case study.

⁷⁴ Global capacity development survey; Bangladesh case study.

⁷⁵ Global capacity development survey.

⁷⁶ Ethiopia case study.

⁷⁷ Ethiopia case study; Kyrgyzstan case study.

⁷⁸ Global capacity development survey.

⁷⁹ Global capacity development survey; Ethiopia case study.

⁸⁰ Ethiopia case study; Bangladesh case study; Vietnam case study.

identified this as one of the aspects of the course they most liked.⁸¹ For others, the academic nature of the course meant the content was too theoretical and lacked practical applicability.⁸²

The Ohio course has primarily targeted C4D staff; while this was an appropriate strategy to build a C4D cadre within the UNICEF, the focus needs to now shift to building the capacity of wider programme staff. Since the Ohio course started in 2011, close to 50% of all participants have been from the C4D function. This targeting of C4D staff was intentional as it helped build the skills of a new cadre who through their role as C4D advocates and advisors would amplify the effects of the training across UNICEF.⁸³ However, arguably, this has led to a course too focused on C4D staff to the neglect of programme staff that do C4D and contributed to creating silos within the organisation.⁸⁴ With nearly all C4D staff across the organisation soon to have completed the Ohio course,⁸⁵ UNICEF needs to step back, review the course and consider how, moving forward, to make it available to a wider range of staff.⁸⁶ One consideration might be to re-position Ohio as a 'social and behaviour change' course rather than C4D course specifically. This may help to increase interest and uptake across a wider range of programmatic areas in UNICEF.

Due to the design of the Ohio course, it has not been able to reach senior managers in UNICEF; this has been less the case with the UPenn course. An analysis of the Ohio course attendance records between 2011 and 2014 indicate that under 10% of participants have been a representative, deputy representative or section chief. The majority (60%) are national officer (NO) level. The main reason for this is the time required to complete the course.⁸⁷ This has been a barrier to busy senior managers enrolling.⁸⁸ Conversely, close to 25% of participants in the UPenn course between 2011 and 2014 have been a representative, deputy representative or a section chief. The two-week intensive residential structure has been a key driver of this as it is more suited to a more senior audience. However, a number of senior managers that had attended the UPenn course indicated that the academic rigour and high entry standards were also incentives for participation.⁸⁹

While the use of general global C4D courses to build internal capacity has been an appropriate strategy to date, moving forward these need to be supplemented with more focused sector-specific courses. For example, based on the demands of their country programme, 19 out of 25 COs indicated that the most useful C4D training that UNICEF could offer would be a combination of general course that introduces core C4D theories, methods and approaches and more specific courses that focus on how to apply C4D in specific sectors. This approach would allow general courses such as Ohio to be made available to a wider range of

⁸¹ Global capacity development Survey: 15 out of 35 respondents identified this as one of the 3 most positive aspects of the course.

⁸² HQ key informant 1; HQ key informant 4.

⁸³ HQ key informant 1.

⁸⁴ Bangladesh case study; Nigeria case study; Ethiopia case study; HQ key informant 5.

⁸⁵ Key informant 2.

⁸⁶ It is also our understanding that discussion regarding the future of the Ohio course is already underway and an option being discussed is to make the course freely available online and to combine this with regional face-to-face workshops.

⁸⁷ Bangladesh case study; Nigeria case study.

⁸⁸ HQ key informant 2.

⁸⁹ Bangladesh case study.

programme staff, as argued above, while the more specific courses could support C4D staff to deepen their skills in specific sectors.⁹⁰ The sectors in which COs indicated the most need for further training are Child Protection⁹¹ and Nutrition.⁹² As discussed below, there is also a strong demand from country offices for global courses to be supplemented by more regional and country-level training. Again, this is for the same reasons as above: to deepen expertise – this time, in a particular geographical context.⁹³

5.2.3 Regional and country-level C4D training and workshops

Regional and country-level training/workshops are highly valued by COs as they contextualise C4D within the geographical specificities. Across all five country studies, country and regional C4D training / workshops filled an important niche in UNICEF's C4D capacity support. This is because they are more rooted in the specificities and needs of a particular geographical context. Regional courses have helped staff to contextualise the broader concepts and theories of the global courses in the political and budgetary realities of their region.⁹⁴ Likewise, the greater control that COs have over the timing of country-level C4D training has enabled them to phase courses with specific moments in the planning cycle where there are opportunities to influencing C4D plans and resources.⁹⁵

Regional and country-level training are available to a wide range of staff, which makes them a more appropriate way of spreading C4D skills across a CO, than global courses. As such, they are more aligned with COs need to build C4D capacities among a wider group of staff than just C4D specialists. West and Central Africa Regional Office (WCARO) for example, has been running a very popular series of C4D learning workshops annually. These have been open to C4D staff and sections and frequently have had between 60–65 participants at a time.⁹⁶ Similarly, at country level a number of examples were identified of CO level trainings being made available to 30+ staff from across the country office, including senior managers.

The country case studies, and to a lesser extent the desk reviews, indicated that there is a generally a strong demand for regional-level C4D workshops and training, but that, at present, not all ROs are meeting this demand. Table 8 details what C4D training / workshops have been run by each RO over the past years. To date, only the Eastern and Southern African Regional Office (ESARO), WCARO and Middle East and North Africa Regional Office (MENARO) have been active in delivering C4D training and workshops. They do this at both the regional and country level. Unsurprisingly, these are the same ROs that have full-time C4D regional advisors.

⁹⁰ Nigeria case study.

⁹¹ Desk review survey: 12 out of 25 country offices.

⁹² Desk review survey 9 out of 25 country offices.

⁹³ This model is already being rolled out in the context of UNICEF's Outbreak Communications course.

⁹⁴ Ethiopia case study; Kyrgyzstan case study.

⁹⁵ Monitoring results for equity system. For example, we found in three of the five case studies C4D training being delivered at the start of a new CPD in which C4D featured (Ethiopia) or when a restructuring of the C4D function had taken place (Vietnam), or when the two year work planning was taking place (Kyrgyzstan).

⁹⁶ HQ key informant 4.

Table 8: C4D training and workshops run by regional offices

Regional office	C4D training / workshops
LACRO	One-week training course on strengthening C4D and MORES ⁹⁷
ESARO	One-week C4D regional networking event; Various C4D training / workshops at CO level ⁹⁸
MENARO	Range of C4D training including: C4D evidence-based programming for government partners; polio C4D training for Government partners; Emergency C4D training as part of regional network meeting for UNICEF C4D staff. Various C4D training / workshops at CO level ⁹⁹
WCARO	Developed C4D training of trainers programmes and trained cadre of consultants who then rolled out training at CO level. ¹⁰⁰ Annual C4D learning workshops; Various C4D training / workshops at CO level
ROSA	None identified
EAPRO	None identified
CEE/CIS	None identified

The CO level C4D training that has been provided to date has tended to be ad hoc and is at odds with what many staff want. While the desk reviews were unable to probe CO level training in any detail, the approach to CO level C4D training has been ad hoc among the country studies. None of the five case study country offices, for example, have institutionalised a regular package of C4D training for staff or run regular refresher courses. This approach to capacity development is at odds with the type of support that many informants identified as being needed at country level: regular and systematic C4D training, coupled with ongoing mentoring / guidance to put new skills into practice.

5.2.4 Adequacy of C4D technical guidance

UNICEF C4D technical guidance offers much needed support to C4D practitioners across a wide range of sectors. UNICEF has developed a wide body of technical C4D guidance, reviews, toolkits and manuals that staff can draw upon in their work. Over 40 documents have been produced between 2010 and 2015. These cover a wide range of issues from C4D in emergencies to using C4D to tackle violence against children (see Annex 8). Of the 30 documents that were reviewed for the evaluation, there was generally good coverage across all of UNICEF's sector areas, although a concentration of documents in applying C4D in

⁹⁷ RO key informant 5.

⁹⁸ RO key informant 1.

⁹⁹ RO key informant 4.

¹⁰⁰ RO key informant 3.

emergency response.¹⁰¹ Notable gaps were in education and child protection (see below).¹⁰² Moreover, as is discussed in more detail in section 5.3.6, there were also generally positive views towards the guidance among users, for many, they represent an important source of knowledge and guidance in their day-to-day work.

There is a demand for more C4D technical guidance; the sector where demand is strongest is Child Protection. The global survey asked respondents to indicate the sectors where they thought additional C4D guidance was most needed. The area where the need for additional C4D guidance is strongest is Child Protection (33%). Table 9 provides an overview of the other response.

Table 9: Issues where additional technical guidance is needed

Sectors where additional technical guidance is needed	%	N=125
Child Protection	33	38
Education	15	19
Emergencies	13	16
Nutrition	12	14
Adolescents	10	12
Water and sanitation	9	11
Health	8	10
Social norms	6	8

There is also a strong demand for technical guidance in the area of research, monitoring and evaluation for C4D. Some 27% of respondents to the global survey (n=125) indicated that they require more technical guidance in the area of research, monitoring and evaluation for C4D.¹⁰³ This was echoed in a number of the country case studies and chimes with earlier findings (see section 5.3.1) that research and M&E are areas where staff are currently struggling and priority areas for further skills building.¹⁰⁴

A review of C4D technical guidance shows a mixed picture with regards to the integration of cross-cutting issues. A sample of 30¹⁰⁵ of UNICEF's C4D technical documents were reviewed using a scoring checklist to assess the extent to which equity, gender equality, human rights-based approaches and participation were integrated into the guidance (see Annex 8). A four-point scale was used for each cross-cutting issue. Across the sample participation

¹⁰¹ Across the sample, the following sectors were covered: Emergency (10), WASH (2), Health (4), Technology (3), General guidelines and best practice in C4D (7), MNCH (4).

¹⁰² UNICEF is already active in plugging these gaps in C4D technical guidance with systematic reviews, research briefs and guidance in education and education and peacebuilding in development.

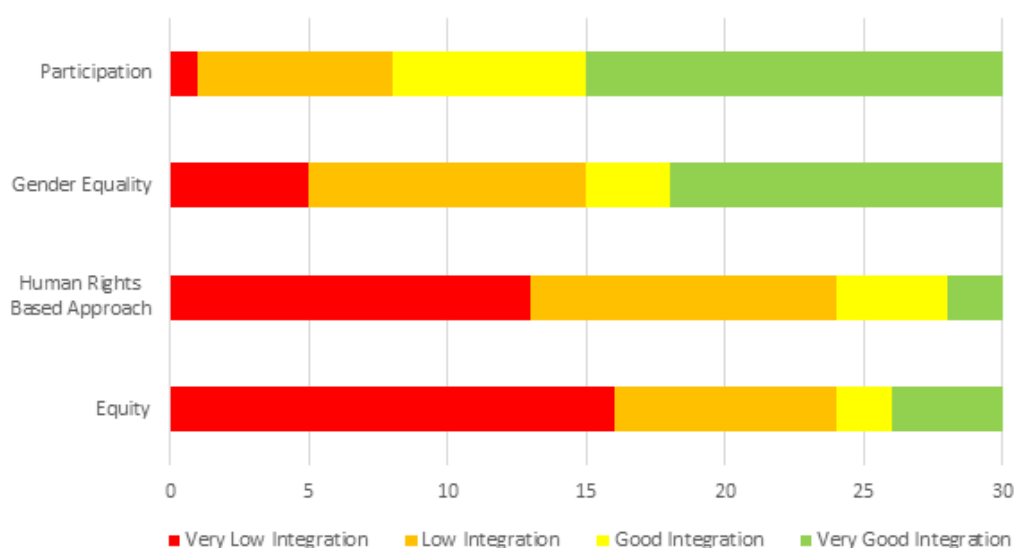
¹⁰³ Global capacity development survey.

¹⁰⁴ UNICEF is already addressing this gap in C4D M&E technical guidance with the development of an M&E tool for C4D and violence against children.

¹⁰⁵ These 30 documents were shortlisted from a long-list of 40. These were chosen to represent a cross-section of different document types (research reports, manuals, toolkits and guidelines), geographic spread, date (earliest 2004 to latest 2015), sector (WASH, nutrition, emergencies etc.) and popularity (we ensured those mentioned most often in our global survey were included).

was the cross-cutting issue that was most mainstreamed in the C4D technical guidance: in over 65% of the documents levels of integration were either ‘good’ or ‘very good’. This meant the principle was clearly articulated and consistently referenced throughout the guide. Gender equality was the next best. In 50% of the documents, gender integration was either ‘good’ or ‘very good’. Equity and human rights-based principles were significantly less integrated (see Figure 4). This is a surprise given the core principles of C4D. The two documents which scored well across all four of the cross-cutting issues were a guide on C4D in maternal, newborn and child health, and nutrition (MNCHN)¹⁰⁶ and a guide on children and ICT.¹⁰⁷

Figure 4: Ratings for integration of four cross-cutting issues across 30 technical guidance documents (Data source: technical guidance scoring checklist)



5.3 Effectiveness of C4D capacity development initiatives

5.3.1 Overall changes in C4D knowledge and practice in UNICEF between 2010–15

UNICEF’s investment in developing staff capacity in C4D has resulted in clear improvements in C4D knowledge among those that have attended UNICEF-led or sponsored C4D training. A key aim of UNICEF’s efforts to build C4D capacity within the organisation was to strengthen individuals’ knowledge and practices around C4D. There is strong evidence to indicate that the investment in this area has been effective.

First, there is clear evidence to indicate that UNICEF’s investment in strengthening individual capacities has led to improvements in C4D knowledge across the organisation. The global

¹⁰⁶ UNICEF (2014) *MNCHN Guide, C4D Guide*.

¹⁰⁷ UNICEF (2015) *Children, ICT and Development Capturing the potential, meeting the challenges*.

capacity development survey asked respondent to assess their C4D knowledge on a five-point scale that ranged from 'I do not have knowledge in this area' to 'I have broad and deep knowledge.'¹⁰⁸ They were asked to rate their knowledge before¹⁰⁹ and after they attended UNICEF C4D training, across seven core C4D competencies.¹¹⁰ Across all core C4D competencies, the survey results indicate improvement (see Figure 5). In the majority of cases, the average rating moved up a point along the scale; in most cases from two to three. This represents a transition from having a basic knowledge of an issue, but being unsure of how to apply it, to having sufficient knowledge to operate effectively in moderately complex situations.

The country case studies paint a similar picture. Across all five countries, there is strong evidence to suggest that those that have engaged in UNICEF C4D capacity development activities had improved C4D knowledge. For example, past participants of UNICEF training in Nigeria highlighted how they gained a deeper insight into communication theories and the role of the law in shifting social norms,¹¹¹ while in Ethiopia participants spoke of learning how to develop evidence-based communication strategies and C4D Situation Analysis.¹¹² In Bangladesh staff commented on learning how to dissect behaviours from social norms and applying human rights-based approaches in C4D.¹¹³ Similar reflections were provided in Vietnam and Kyrgyzstan.

¹⁰⁸ The scale used in the global capacity development survey was: **1.** I do not have knowledge in this area; **2.** I have basic knowledge in this area, but am unsure of how to apply it; **3.** I have sufficient knowledge in this area to operate effectively in moderately complex situations; **4.** I have good knowledge of key principles in this area and can apply my knowledge in complex situations; **5.** I have broad and deep knowledge in this area. I can apply knowledge in complex situations.

¹⁰⁹ This required respondents to develop a retrospective baseline. They were asked to estimate to the best of their abilities what level of knowledge they had before they attended the training. See methodology section for more details.

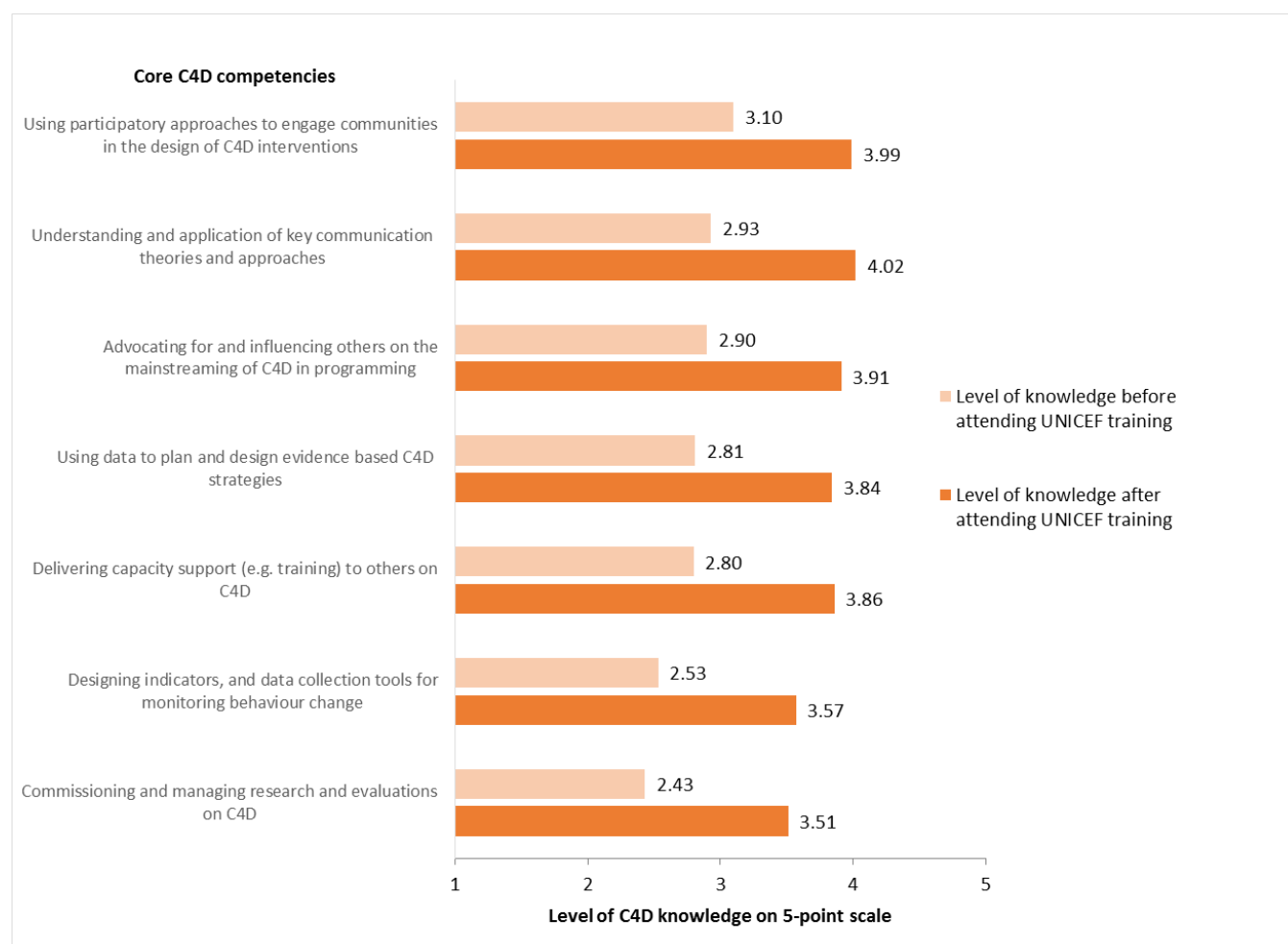
¹¹⁰ These were taken from the UNICEF C4D Competencies Framework.

¹¹¹ Nigeria case study.

¹¹² Ethiopia case study.

¹¹³ Bangladesh case study.

Figure 5: Average scores for C4D knowledge across seven core C4D competencies, before and after attending UNICEF-led or sponsored C4D training (n=205) (Data source: global C4D capacity development survey)



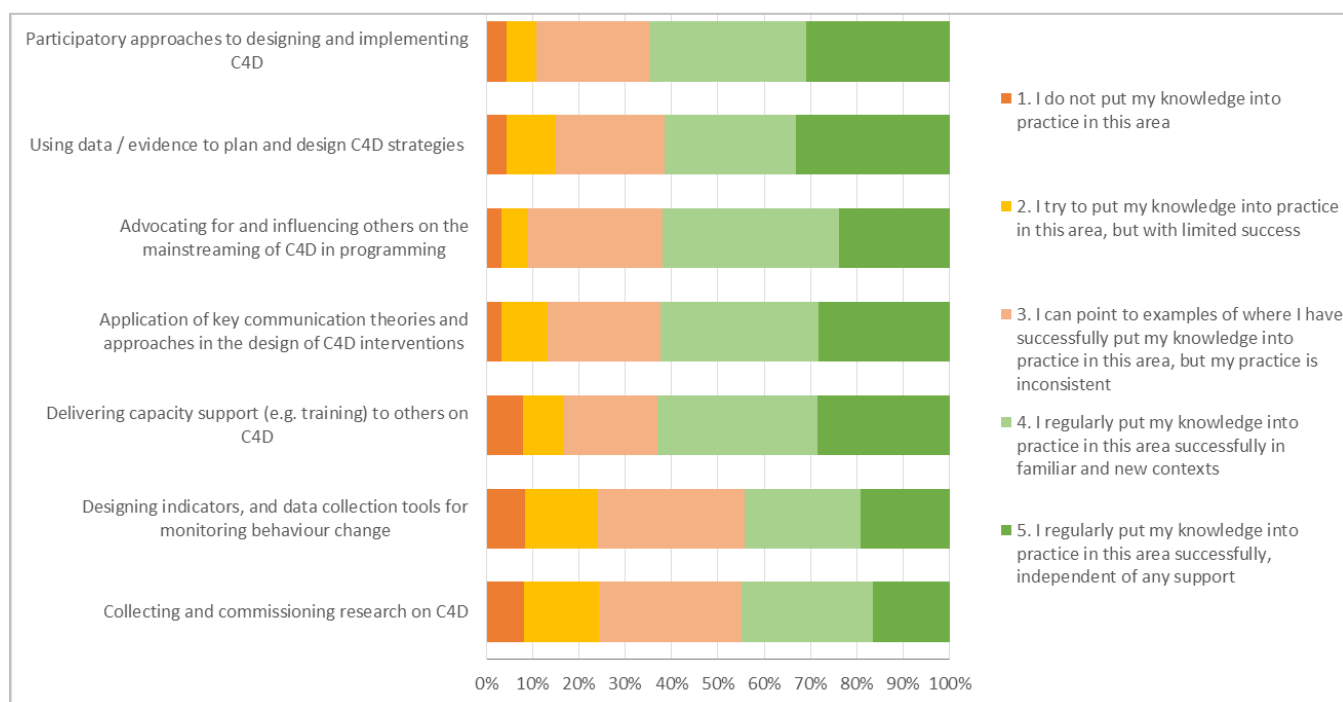
Crucially, improvements in C4D knowledge have also led to positive changes in how UNICEF staff practice C4D. Across a number of data sources there is evidence that staff who have engaged with UNICEF capacity development have not only gained new knowledge, but that they have also changed their behaviour and practice. The global C4D capacity development survey asked respondent to assess the extent to which they put their C4D knowledge into practice against a 5-point scale that ranged from ‘I do not put my knowledge in this area into practice’, to ‘I do so regularly, and need no support’. Across five of the seven C4D competencies, 60% or more of respondents reported *regularly* (4 or 5 on the scale) putting their new C4D knowledge into practice (see Figure 6).

The country case studies corroborated this finding. Across all five, the evaluation found a wide range of examples of how past participants had changed their behaviours and practices because of attending UNICEF courses on C4D. For instance, in UNICEF Ethiopia, following

attendance at the Ohio course, staff could point to specific examples of where they had successfully negotiated with section colleagues so that even in time-pressured situations, basic research was conducted to inform C4D strategies. Yet in Nigeria, staff spoke of training government in C4D and nutrition and running training for child protection colleagues on social norms following attendance at Ohio and UPenn.

Given the limitations of staff self-reporting how they translated new knowledge into practice, the evaluation triangulated their claims with peers and line managers through country case studies. For example, in Bangladesh a section chief reported seeing notable improvements in how the C4D specialist formulated C4D indicators as a result of engaging with Ohio training; in Nigeria a section chief credited the UPenn course for the quality of a C4D specialist's work on birth registration; and in Ethiopia a section chief commented on how they had observed a staff member pass on her new skills to colleagues by helping to develop a C4D strategy on emergencies and delivering training to regional government.

Figure 6: Assessment of the extent to which staff put C4D knowledge into practice across seven core C4D competencies (n=205) (data source: global C4D capacity development survey)



Research, M&E and influencing skills are priority areas for further professional development. Across the seven C4D competencies, the two lowest rated were: ‘designing indicators and data collection tools for monitoring behaviour change’ and ‘commissioning and managing research and evaluations on C4D’. Although there have been improvement in both competencies (see Figure 3), there remain gaps. Over 20% of respondents indicated that they either never put their knowledge into practice, or try, but with limited success. A further 30%

recognise their practice is inconsistent in these areas (see Figure 4).¹¹⁴ The desk reviews also revealed these as areas for improvement.¹¹⁵

Advocacy and influencing is another area for further professional development. Although respondents of the global C4D capacity development survey did not rate their knowledge or practice in this area as particularly low (over 50% rated themselves a 4 or 5, suggesting they put their skills into practice in this area on a regular basis), over 67% (n=173) identified this as a priority area for professional development in the next 3 years. The need to further develop the advocacy skills of C4D staff also came out strongly in four of the five country case studies.¹¹⁶ This suggests a need for C4D to integrate the development of influencing skills more into its training; however, it is important to note that advocacy/influencing are core dimensions of leadership capacities more broadly, and as such, are not just the responsibility of C4D to develop. Moving forward, C4D should look to see where it can add value on this issue, and where it is perhaps better to sign post C4D staff to engage with existing UNICEF leadership training.

5.3.2 Factors that have influenced the translation of C4D knowledge into practice

While the evidence presented above suggests a relatively positive story – on the whole, UNICEF staff have learnt new skills and tend to put these into practice – it is important to understand why practice is not consistent. Why, for example, is evidence being used to inform C4D strategies only 60% of the time, or why are 40% of staff not regularly applying participatory approaches to the design and implementation of C4D initiative (see Figure 6)? Likewise, one needs to understand the factors that support success. What are the key conditions that enable staff to put skills into practice? Developing a clearer understanding of barrier and enablers is central to supporting UNICEF's learning on why, and under what conditions, C4D capacity support can be effective.

Lack of financial resources is perceived to be the dominant barrier to staff being able to put their C4D knowledge into practice. A key factor to emerge from the data is financial resources. When there is a lack of budget for C4D, it is very difficult for staff to put C4D knowledge into practice. Some 91% of respondents identified it as the top factor that if absent, prevents the translation of knowledge into practice, and 60% identified it as an important enabler (see Figure 7). The fact that it is the top barrier by a large margin suggests that the absence of financial resources presents a major block on C4D knowledge being put into practice. The fact that it is also an important enabler – alongside a number of other factors – suggests that although its presence is necessary, it is not sufficient to enable knowledge to be

¹¹⁴ Global capacity development survey: 8% (17 out of 204) of respondents indicated that they do not put their knowledge on 'designing indicators and data collection tools for monitoring behaviour change' into practice; 16% (32 out of 204) said they tried, but with limited success; 32% (65 out of 204) reported that they could point to examples of where they had put knowledge into practice, but these were not consistent.

¹¹⁵ Desk review survey: 14 out of 24 COs (58%) indicated that staff had either no or very limited knowledge / skills in both these areas.

¹¹⁶ In Bangladesh a number of section chiefs indicated that they felt C4D staff needed better negotiation and influencing skills to sell C4D as a cross-cutting approach across the CO. While in Ethiopia senior managers noted how C4D staff were too reactive, responding to government's requests around traditional ways of communicating, rather than being proactive and pushing the government thinking. Similar findings emerged from the case studies in Vietnam and Nigeria as well.

put into practice; other factors also need to exist, such as support from section chiefs, integration of C4D into planning and C4D staff skilled in influencing and advocacy.

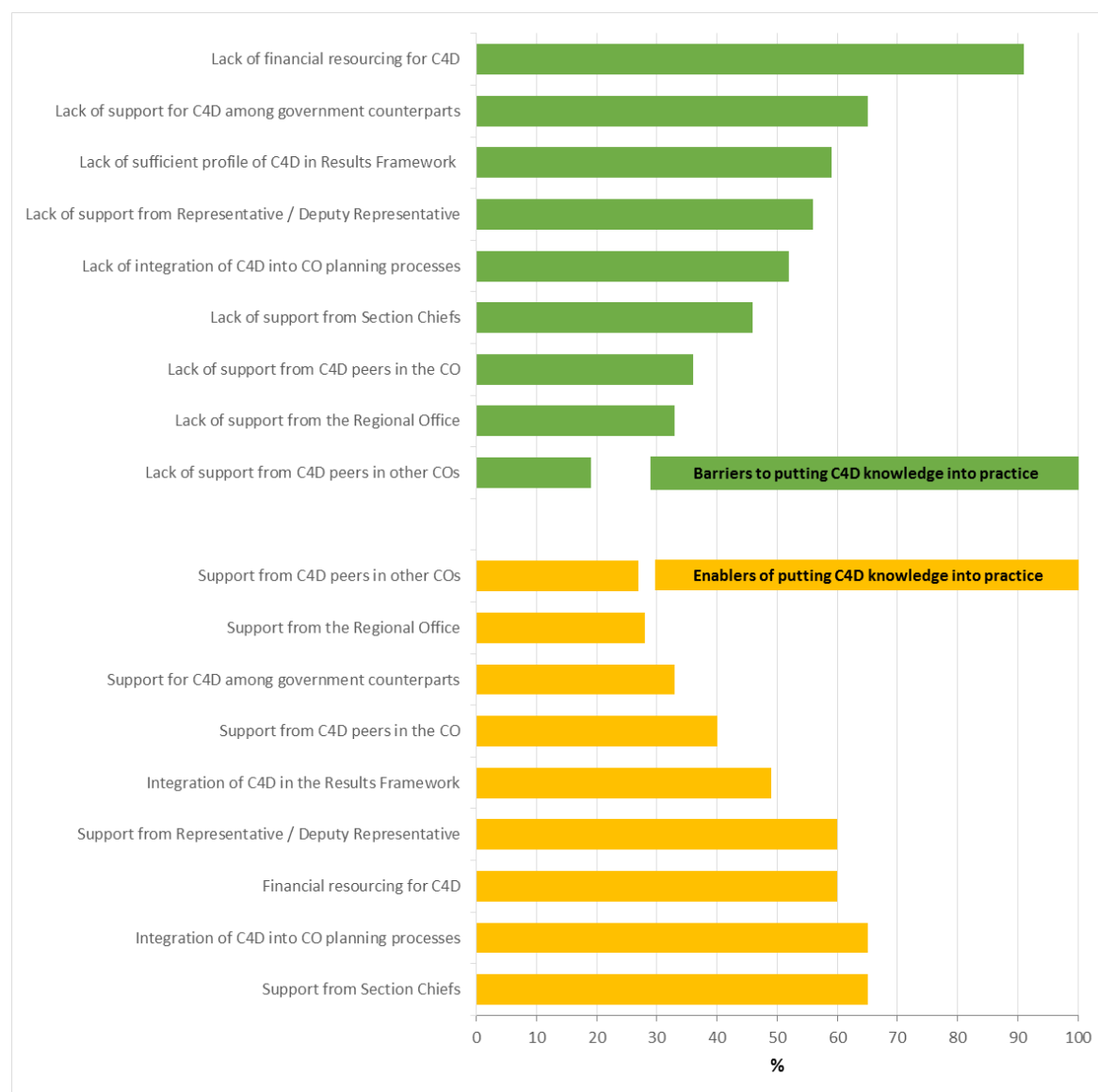
Another major perceived barrier is absence of C4D in the results framework. Some 59% of respondents to the global C4D capacity development survey indicated that when C4D was not well integrated into the results framework it was difficult to put their C4D skills into practice. This was echoed in some of the country studies and desk review countries. In Kyrgyzstan, not having specific outputs or outcomes in the results framework to which C4D clearly contributes has made it more difficult for C4D staff to advocate for the inclusion of C4D strategies in sector programmes. This in turn has reduced the scope for C4D staff to advice on communications strategies. Similar challenges have been faced by C4D staff in UNICEF Sierra Leone, Turkey, Fiji and Liberia. The weak integration of C4D in the results framework is also linked to a wider range of issues related to the integration of C4D in core CO planning processes which is discussed in section 6.2.2.

Lack of support from government counterparts is another blockage. 65% of global C4D capacity development survey respondents view lack of support from government counterparts as a major barrier to translating C4D knowledge into practice. In Ethiopia for example, lack of government capacity and understanding of C4D was identified as a major challenge to effective C4D implementation. As is detailed in more depth in section 7.4, many government counterparts have traditionally viewed C4D through the lens of the production of material for information, education and communication, and the shift towards more strategic communication is very new. Failing to support partners in making this shift can mean that C4D staff are limited in what they can do around the design of communications strategies.

Support from section chiefs and integration of C4D into CO planning are perceived to be key enablers of skills being put into practice. As Figure 7 illustrates, survey respondents identified alongside adequate financial resources for C4D, support from section chiefs and the integration of C4D into CO planning as key enablers of being able to put C4D knowledge into practice. Both these issues came out in the country case studies. In Nigeria, Ethiopia and Vietnam it was easier for C4D specialists to mobilise funding and support for C4D in sections where the chiefs understood and valued C4D as a programming strategy.¹¹⁷ Likewise, in Bangladesh and Nigeria it was emphasised how important it was to have C4D clearly articulated in the CPD as it raises its status within the CO and ensured it is on the radar of senior managers.

¹¹⁷ In our case-study interviews a common complaint by C4D staff members was summed up in the following quote from UNICEF Ethiopia that 'sectors often think they are doing you a favour by integrating C4D into their programme – that they are raising funds for you. They often don't seem to understand that you are making their programming stronger.'

Figure 7: Enablers and barrier of staff putting knowledge from C4D training into practice (n=173) (Data source: global C4D capacity development survey)



5.3.3 Contribution of global C4D training courses to capacity development

Both the Ohio and the UPenn courses have made an important contribution to strengthening C4D knowledge and practice in UNICEF. The Ohio and UPenn courses are UNICEF's two biggest investments in building internal capacity linked to behaviour and social change. There is strong evidence to suggest that both have been effective catalysts for improved knowledge and practice: 96% of respondents (n=112) to the global C4D capacity development survey reported that the Ohio course played an 'important' or 'extremely important' role in improving their C4D knowledge and practice, while 97% (n=36) reported that the UPenn

course played a similar role (see Figure 8 below). This finding was supported in the desk review countries¹¹⁸ and the five country case studies.¹¹⁹

There are a number of reasons why both courses have played such an important role in the development of staff knowledge and skills. In both cases, the quality of the courses is a factor. As discussed in detail in section 5.2.2, both courses used a relevant mix of teaching methods and the technical content was well tailored to the participant's needs. Both also targeted predominantly technical staff, who had the opportunity to put their skills into practice. That there were no real alternative courses is also notable. Before the Ohio course, the dominant practice was for C4D staff in UNICEF to learn their profession on the job. Similarly, there were no alternative courses on social norms. This meant that Ohio and UPenn were for many people the only professional training that they have received on behaviour and social change.

Figure 8: Level of contribution that UNICEF C4D courses had in strengthening knowledge and practice (Ohio n=112, UPenn n=36, CO level workshops n=76, RO level workshops n=67) (Data source: global C4D capacity development survey)



¹¹⁸ Desk review survey: 16 COs (n=15) considered the Ohio course, and 14 (n=17) the UPenn course, to have played either a 'significant' or 'essential' role in improving C4D initiatives within the country programme.

¹¹⁹ In UNICEF Ethiopia, for example, we heard how the Ohio course has been the primary means through which the CO has built the capacity of its C4D specialists and has been an essential factor in improving C4D practice.

5.3.4 Contribution of country and regional-level C4D training to capacity development

The contribution that country and regional-level training and workshops have made to knowledge and practice is mixed. Across UNICEF at both regional level and country level there has been a wide variety of C4D trainings and workshops designed to support C4D practitioners and improve practices. The evidence suggests that these have largely been effective: 85% of the global survey respondents indicated that the country-level training made an ‘important’ or ‘essential’ contribution to improvements in their knowledge and practice, while 82% thought the same for regional-level training. Likewise, the desk review identified 10 COs¹²⁰ that reported regional-level workshops playing a ‘significant’ or ‘essential’ role in improving C4D in their country programme.

One should note, however, that there were also more negative perceptions about the effectiveness of *some* of the country and regional-level courses. For example, six COs thought regional training had played only ‘somewhat’ of a contribution to improvements in C4D practice in their CO. Likewise, the global survey indicated that close to 20% of respondents felt country and regional-level courses had made ‘limited’ or ‘no contribution’ to their knowledge and practice. These concerns were also echoed in a handful of the country case studies, Ethiopia in particular. One explanation for this more mixed picture could be that initiatives at country and regional level are more varied in their content, delivery method and trainer, and that this diversity leads to more variable quality and in turn effectiveness. If this is the case, it raises questions for UNICEF on how it can ensure a consistent level of quality in the capacity support that is being delivered, especially if in the future training is to be more decentralised to regional and country offices. Another explanation could be that the country-level training in particular has tended to be stand-alone and not linked to any large efforts to build and maintain C4D capacity. This would limit its effectiveness.

5.3.5 Contribution to C4D knowledge platforms and webinars to capacity development

While the webinars were a useful tool for disseminating information on C4D, their contribution to strengthened C4D is limited. While a 2013 internal review suggested that the webinar series had led to both improved knowledge and changed practice, there was limited evidence to validate these claims. In fact, the evidence on their effectiveness was very mixed. On the one hand 67% (n=159) of respondents to the global survey viewed the webinars as an ‘effective’ or ‘very effective’ way to exchange knowledge, but on the other, the desk review survey revealed that the majority of the 25 COs thought the webinars had played a limited role in improving C4D in country.¹²¹ This is perhaps less a criticism of the C4D webinars per se, but more the role that webinars in general can realistically play in building C4D capacity. Given webinars are simply short presentations of an issue with some online discussion, it is unlikely that they can achieve much more than providing a space for exposing participants to new knowledge. Although some

¹²⁰ Only 16 COs responded to this question in the the desk review survey

¹²¹ 8 out 14 CO indicated that they felt the Webinars had only played somewhat of a role in improving C4D implementation.

participants might go on to change practice, for many, in the absence of any follow-up, it is merely a way for assimilating new knowledge. It is unrealistic to view them as interventions that are going to significantly affect how C4D is implemented in country.

The UNICEF C4D intranet sites provide an effective repository of guidance, tools and case studies for staff, but needs improvement. The key platforms that were set up to support internal knowledge exchange on C4D are the C4D intranet and internet webpages. The global survey indicated that 79% of respondents (n=168) rated the intranet pages as an 'effective' or 'very effective' platform for accessing knowledge on C4D. For many, bringing together UNICEF's thinking and practice in this centralised way is the most appropriate way of pooling resources and making them as accessible as possible across the organisation.¹²² These positive results are, however, slightly at odds with reports from some of the country studies in which staff were critical of the intranet pages. In Ethiopia, for example, C4D staff felt that it was difficult to navigate. While in Vietnam, staff felt that it lacked the most up-to-date C4D material.¹²³ The evidence seems to suggest that the use of the intranet site as a repository for C4D knowledge is the right approach, but that there is a need to manage the current platform much more effectively.¹²⁴

There is a clear demand for online peer networking among C4D practitioners that is not being met by any of UNICEF's knowledge platforms. Intranet pages provide a relatively static source of knowledge on C4D; however, what currently does not exist within UNICEF is a web-platform for C4D practitioners to exchange ideas and documents in real time. The evaluation found a strong demand for such a platform. While efforts were made to set up a C4D Facebook page and Yammer group to support this type exchange, these were of limited utility.¹²⁵ The evaluation found a strong demand for this type of platform among C4D practitioners at the global and regional levels.¹²⁶

5.3.6 Contribution to C4D technical guidance to capacity development

There is evidence to suggest uptake of UNICEF's C4D technical guidance. The most frequent way in which it is being used is to support the design and implementation of C4D initiatives. The global survey and country case studies point to a number of UNICEF C4D technical documents being widely used. The most frequently cited are listed in Text Box 1.

¹²² Global capacity development survey.

¹²³ Having viewed the intranet pages as part of the evaluation, the evaluation team would agree with the comments of both the Ethiopia and Vietnam country offices. The intranet page is difficult to navigate and many of the documents are old and out of date.

¹²⁴ The C4D Section highlighted that a lack of resources has been a barrier to dedicating sufficient resources to managing the web resources.

¹²⁵ Kyrgyzstan case study.

¹²⁶ Global capacity development survey.

Text Box 1: Most widely used C4D technical guidance based on global C4D capacity development survey responses¹²⁷

- Behaviour Change Communication in Emergencies: a Toolkit^{128, 129}
- Writing a Communication Strategy for Development Programmes: A Guide for Programme Managers and Communication Officers^{130, 131}
- Facts For Life¹³²
- Communication with Children¹³³
- Communicating for Humanitarian Action Toolkit¹³⁴
- Research, Monitoring and Evaluation in Communication for Development¹³⁵

A large number of respondents also mentioned using HQ and regional-level C4D policy frameworks, strategies and position papers to guide their work at the CO level. Frequent reference was made to the *C4D Position Paper*, the *C4D Capabilities Framework* and the more recently the *Global Communication and Public Advocacy Strategy* and the *WCARO C4D regional Strategy: C4D Plan of Action*.¹³⁶

Staff are using the C4D technical guidance in three different ways:

1. **To support the design and implementation of specific C4D initiatives** – This is the most common use of the technical guidance. Of the 69 respondents to the global survey that provided examples of how they used technical guidance, 63 fell into this category. Examples included using a guide ‘to develop media messages during an emergency crisis’, using a tool to ‘structure technical assistance to a country office around the integration of C4D into their Country Programme Document’, and using a manual to ‘design a C4D strategy for a nutrition programme.’
2. **As material in the delivery of capacity support such as training, either internal to UNICEF, or with government or NGO partners** – This is the second most frequent use with 25 respondents mentioning this. Examples included using the technical guidance in ‘training health workers on C4D’, ‘as a reference in C4D staff orientation packs’, ‘to inform the content of WASH / C4D training’ and ‘to use in training faith leaders.’
3. **To inform general thinking around C4D** – Last is the use of the technical guidance in a more general way to inform thinking and practice. 12 out of 69 respondents referred to this.

¹²⁷ While 128 respondents answered this question, the quality of the responses was variable. Many simply stated that they used C4D guidance or tools, without specifying which ones. As a result the numbers of responses identified for each technical guidance document are relatively small.

¹²⁸ 25 respondents cited using this document in the past 2 years; also cited in the Ethiopia case study.

¹²⁹ This document was developed by ROSA.

¹³⁰ 24 respondents cited using this document in the past 2 years; also cited in the Ethiopia case study.

¹³¹ This document was developed by UNICEF Bangladesh.

¹³² 7 respondents cited using this document in the past 2 years.

¹³³ 5 respondents cited using this document in the past 2 years.

¹³⁴ 5 respondents cited using this document in the past 2 years.

¹³⁵ 4 respondents cited using this document in the past 2 years.

¹³⁶ 30 respondents cited using HQ and regional level C4D policy frameworks, strategies and position papers in the past 2 years; also cited in the Ethiopia case study and Vietnam case study.

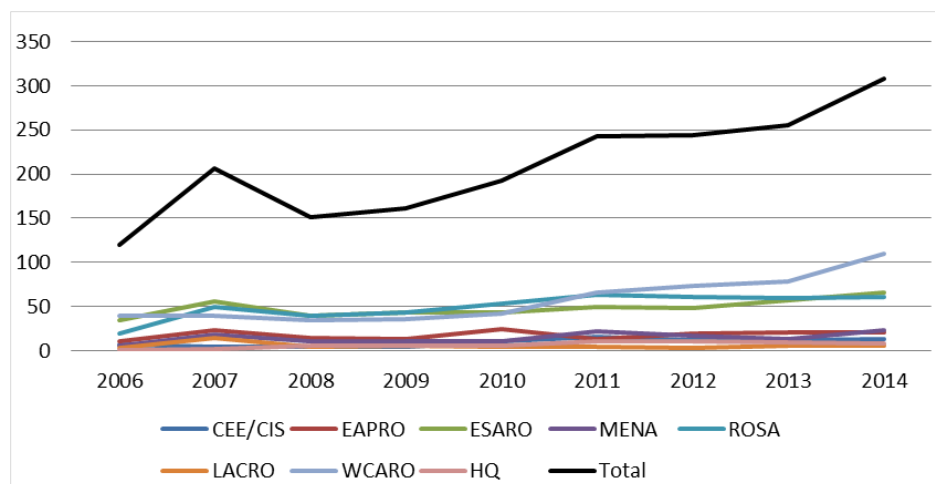
Examples included using the guidance as ‘a reference material, ‘for orientation when starting a new job’, and ‘to learn about C4D work in other offices.’

The fact that most staff use the technical guidance in very practical ways emphasises the need to keep future material as practitioner orientated as possible. Short step-by step guides, good practice case studies, toolkits are likely to be of most value to staff. While research and evaluations are important, they are likely to have to be distilled into key finding and lessons to ensure uptake.

5.3.7 Changes in C4D staffing numbers

During the period under evaluation, UNICEF has increased its C4D staff capacity across the organisation. Overall C4D staffing levels have increased across UNICEF from 102 in 2006 to 308 in 2014 (see Figure 9).¹³⁷ While, there was no specific target set for how much staffing should increase, this should still be considered a notable success in the organisation’s efforts to build internal C4D capacity. A peak in 2007 was mainly due to extra staff recruitment around avian influenza, while the climb in 2014 can be attributed to the Ebola surge. Many of these were on temporary appointments, so it can be assumed that in 2015 staffing numbers are back down to somewhere around 2013 levels. Growth in staffing has varied between regions with WCARO, ROSA and ESARO benefiting the most.¹³⁸ Given these are the regions in which UNICEF has its largest country programmes, this is of no surprise.

Figure 9: Numerical changes in C4D staff between 2006 and 2014¹³⁹



The number of P4/P5 level staff leading C4D at country level is significantly less than the number of NOC/NOB/P3 level staff in such roles; this could be problematic in contexts where

¹³⁷ Data for 2015 was not available at the time of writing.

¹³⁸ In 2015 they had 36%, 21% and 20%, respectively, of the total number of C4D staff members

¹³⁹ Source: Global C4D Staff Assessment 2014, UNICEF

other section chiefs are at P5 level. While there has been growth in both national officer (NOs) and international professional (IP) C4D staff, NOs dominate the pool of C4D professionals within UNICEF. Staff at NO and P3 levels are most frequently the C4D leads in country offices. As of July 2015 there are only 9 P5s in C4D leadership positions across UNICEF.¹⁴⁰ There were 63 NOC/NOB/P3 staff in similar positions.

While the evaluation was only able to explore this issue in the context of the five country case studies, it found evidence to suggest that, in certain contexts, the seniority of the C4D lead does impact the level of C4D integration across the country programme. This came out in both Nigeria and Bangladesh.¹⁴¹ In both contexts, the ability of the C4D lead to engage closely with section chiefs was partly linked to them being at a similar level (P4/P5). This allowed them to facilitate advocacy and negotiation; it also positioned the section equally in the eyes of other stakeholders such as government.¹⁴²

Ultimately, the seniority of C4D leadership needs to be grounded in the context of the CO, size of the programme, be based on a realistic understanding of what is needed for the role to be effective and be a comparable level to other section chiefs. While having a P3 C4D lead in one context may be appropriate, in another CO it may not.

Whatever the seniority of the role, however, as discussed above (see section 5.3.1) a key element of the C4D lead is influencing. The ability to advocate for C4D at the most senior levels of a CO is key to driving integration across the country programme. This is a key attribute that needs to exist in anyone that leads C4D, irrespective of their grade.¹⁴³

5.3.8 Creating C4D champions

So that staff can put C4D skills into practice and for C4D to be integrated into structures, systems and programming more widely, there needs to be support for C4D at a senior management level¹⁴⁴ within UNICEF. Senior staff who control resources and set operational priorities need to create an environment in which C4D is adequately resourced and effectively implemented. They need to be champions of C4D. The evaluation assessed the existence of senior champions at regional and country level. The criteria for judging whether someone was a

¹⁴⁰ As of July 2015 across UNICEF COs there are:

- 4 COs (3%) with P5 level positions leading C4D;
- 20 COs (15%) with P4 positions leading C4D; and
- 63 COs (47%) have staff leading C4D at NO1–NO3/P3 level

Source: 'Strengthening C4D in UNICEF – Investment Options v28 July 2015'

¹⁴¹ Nigeria case study, Bangladesh case study

¹⁴² In many respects, Nigeria and Bangladesh are unique COs. They are some of UNICEF's largest country programmes and both have a significant C4D presence. As such, they require individuals with significant experience to lead C4D. This may not be the case in other COs. In contexts where C4D presence is more limited, or where the country programme is smaller, it may be appropriate for staff at P3 or NO1–3 levels to lead C4D.

¹⁴³ We are aware that proposals have been put forward for the further requirement of P5 and P4 C4D staff across the organisation, including at RO level to strengthen the seniority of C4D leads. The Strengthening C4D Initiative has proposed the recruitment at the regional level of *3 P5 Regional Advisor and at country level of upgrading of existing or establishment of new P5/P4 C4D senior leadership positions as per criteria: Approx. 13 x P5 posts; 8 x P4 posts.*

¹⁴⁴ Senior managers is used in the evaluation to mean at CO level: Representative, Deputy Representative, section chiefs; at RO level: Regional Director and Deputy Regional Director; and at NYHQ level: Director, Deputy Director and Chief.

champion was whether they saw the value in C4D, publicly communicated their support for C4D and demonstrated this support through the allocation for resources to C4D.

Despite being a key objective of the Capacity Development Framework, UNICEF never had a clear strategy for how it was going to create and support C4D champions. UNICEF was aware that senior management are central to building C4D capacity internally. To ensure C4D staff have the opportunity to design and implement C4D strategies, those who control the budgets, make operational decisions and set policy need to be convinced of the value of C4D. A key objective in the C4D C4D-CDF was to create C4D champions at all levels within the organisation, and equip them with knowledge and tools to promote, and increase support and investment in C4D.¹⁴⁵

To some extent, UNICEF has been successful in creating champions, it has trained a large number of staff through Ohio and UPenn and many of these have become advocates for C4D back in their country.¹⁴⁶ However, most of these staff are technical specialists. As such, their ability to champion C4D is largely limited to a specific programme or an area of work. They do not have the influence to effect major operational decisions or allocate resources: this sits with section chiefs, deputy representatives and representatives. UNICEF has been less successful at reaching this level of stakeholder and providing them with evidence, messages and tools that convinces them of the value of C4D and results in them championing the agenda.

A key explanation for this is that there was never a clear strategy for how UNICEF would engage with this group of senior managers. While efforts have been made to reach out to them through for example, building C4D components into core leadership training such as the New and Emerging Talent Initiative for future leaders or most recently, an orientation pack for Representative and Deputy Representatives that emphasises core C4D components and its value-add to programme results,¹⁴⁷ these seem ad hoc and fragmented. Likewise, while there may have been hope that the Ohio course would provide a platform to engage section chief, Representatives and Deputy Representatives, as discussed in section 5.2.2, in reality, because of the structure of the course very few attended.

Among regional offices, where regional C4D advisors exist, they are crucial champions of C4D in the region. As is discussed in more detail in section 6.3, having a C4D advisor at the regional level provides an important voice for C4D in the region. Regional C4D advisors are in post in three ROs, with further recruitment in progress. In all regions where they exist, the advisor is a vocal champion of C4D. They raise the profile of C4D in the region and support COs in integrating C4D into country programming. Conversely, in ROs where no advisor exists, C4D tends to have more limited visibility at the regional level. Interestingly, similar to at CO level, one regional C4D advisor commented that their ability to operate effectively was contingent on them to having a senior champion in the RO. While the evaluation was not able to

¹⁴⁵ While UNICEF does not specifically define what it means by 'champion', for the purposes of the evaluation we used the following definition: someone experienced in C4D, that promotes it among colleagues and partners with passion and conviction and in such a way that it leads to action.

¹⁴⁶ Global capacity development survey; Bangladesh case study; Vietnam case study.

¹⁴⁷ HQ key informant 6; HQ key informant 2.

explore the level of leadership support there was for C4D among senior management in all ROs, it was clear from this one advisor that their ability to drive the C4D agenda forward was heavily dependent on the regional director valuing C4D and being willing to mobilise resources to support the advisor.¹⁴⁸

Across the case study and desk review countries representatives and deputy representatives were generally supporters of C4D, some active champions, but the picture among section chiefs was much more variable. Interestingly, especially in light of the finding above, across the country case studies and desk reviews,¹⁴⁹ a surprisingly common picture emerged of support for C4D at a senior level. In the majority of COs, to varying degrees, the representatives and deputy representatives were found to be supportive of C4D. They all saw the value of C4D to their country programme and communicated this internally. In some cases, there was also evidence of them allocating resources to support C4D or tasking specific steps to integrate C4D into programming.¹⁵⁰

Among section chiefs, however, the picture was more mixed. Across the case study countries, and where data was available, the desk review countries, section chief's support for C4D seemed to be a sticking point for many COs. Section chiefs seemed to fall into one of three categories: those that were champions, dedicated time and resources to C4D, and spoke passionately about its benefits; those that saw C4D's value, but did not necessarily champion it by allocating resources; and those that were unconvinced of its value and actively challenged its contribution. In those country offices where section chiefs fell into the last category, the ability of C4D staff to meaningfully integrate C4D strategies into programmatic work was significantly curtailed. The major barrier to section chief's embracing C4D and resourcing it effectively seemed to be the limited evidence of its added value.

5.3.9 Establishing C4D accountabilities across HQ, ROs and COs

Both HQ and the regional offices play a role in supporting C4D integration through a range of strategies including providing advice, quality assurance, advocacy and training. Part of UNICEF's efforts to build organisational capacity have been around clarifying C4D accountabilities at the different levels of the organisation. As part of the evaluation, an assessment was made of the extent to which NYHQ and the regional offices are effectively delivering on these.

Overall, there is a high level of satisfaction with the support provided by HQ on C4D and feeling that they are effectively delivering against their C4D accountabilities. Across the 25 desk review and case study countries there was a high level of satisfaction with the level of support, guidance and leadership provided by HQ around C4D. Among COs, satisfaction was over 80% across five of the seven accountabilities (see Figure 10). The two areas where there is scope for

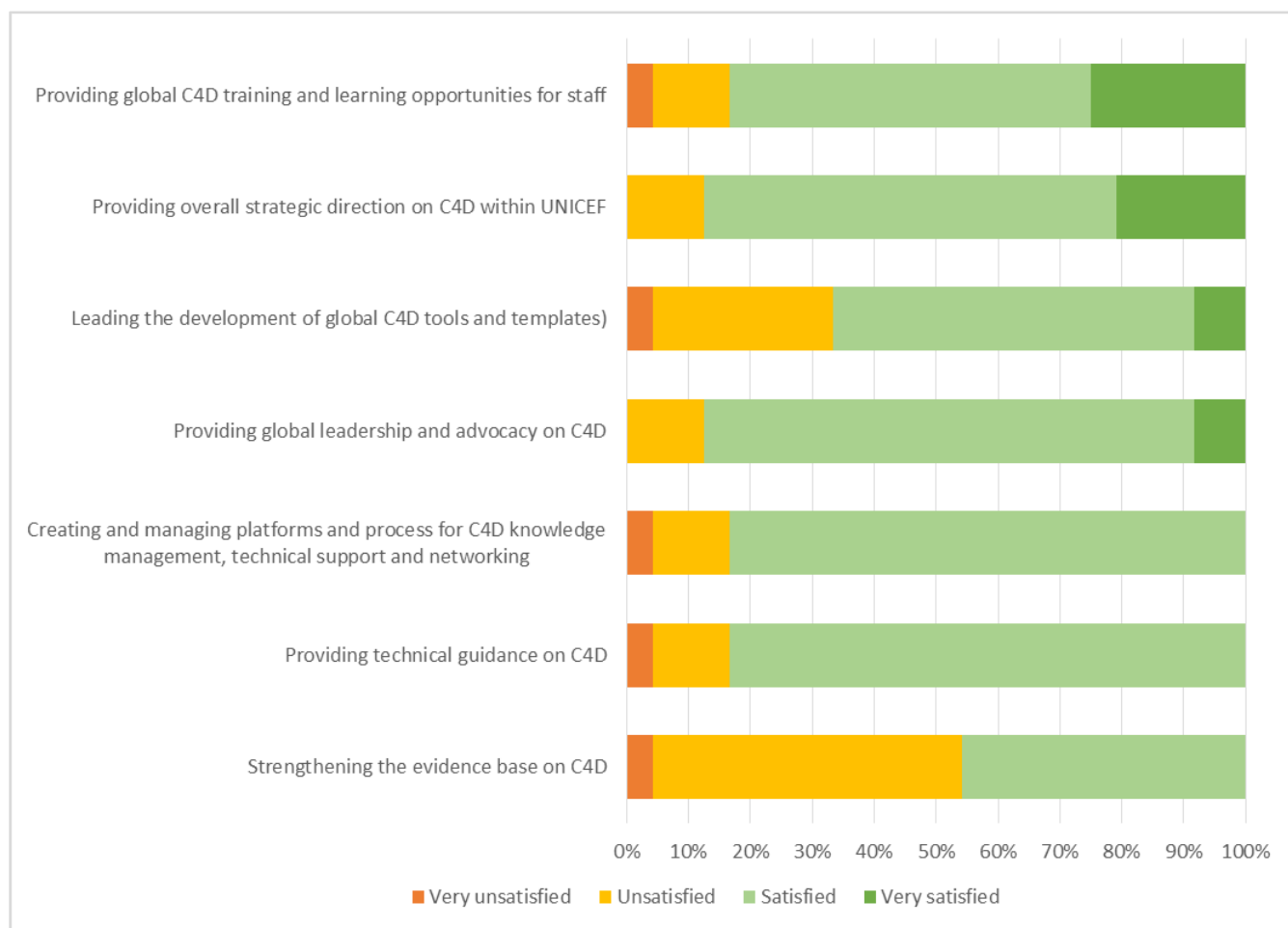
¹⁴⁸ RO key informant 1.

¹⁴⁹ The desk review data while supporting the general picture should be treated with some caution, because it is based on interviews with a limited number of staff (max 3).

¹⁵⁰ While the evaluation found no conclusive evidence to explain this largely positive pattern, some of the reasons offered by informants in the country studies included: that the Representative / Deputy Representative had a technical background in a sector (e.g child protection) that has a long history of applying C4D, so understood its value; and that they were previously at a country programme where they had seen the value that C4D can bring.

HQ to do more is around strengthening the evidence base on C4D, and developing more C4D tools, guidance and templates (see section 5.2.4 for a discussion of where the gaps are in technical guidance). This resonates with the country case studies, where there was a similarly positive perspective on the HQ's role, but suggestions for improvement in areas such as supporting the generation of evidence needed to convince colleagues of C4D's value, and the need for guidance on how to design and implement C4D strategies in specific sectors.

Figure 10: CO Satisfaction with how HQ is delivering on its C4D accountabilities (n=24) (Data source: desk review survey)

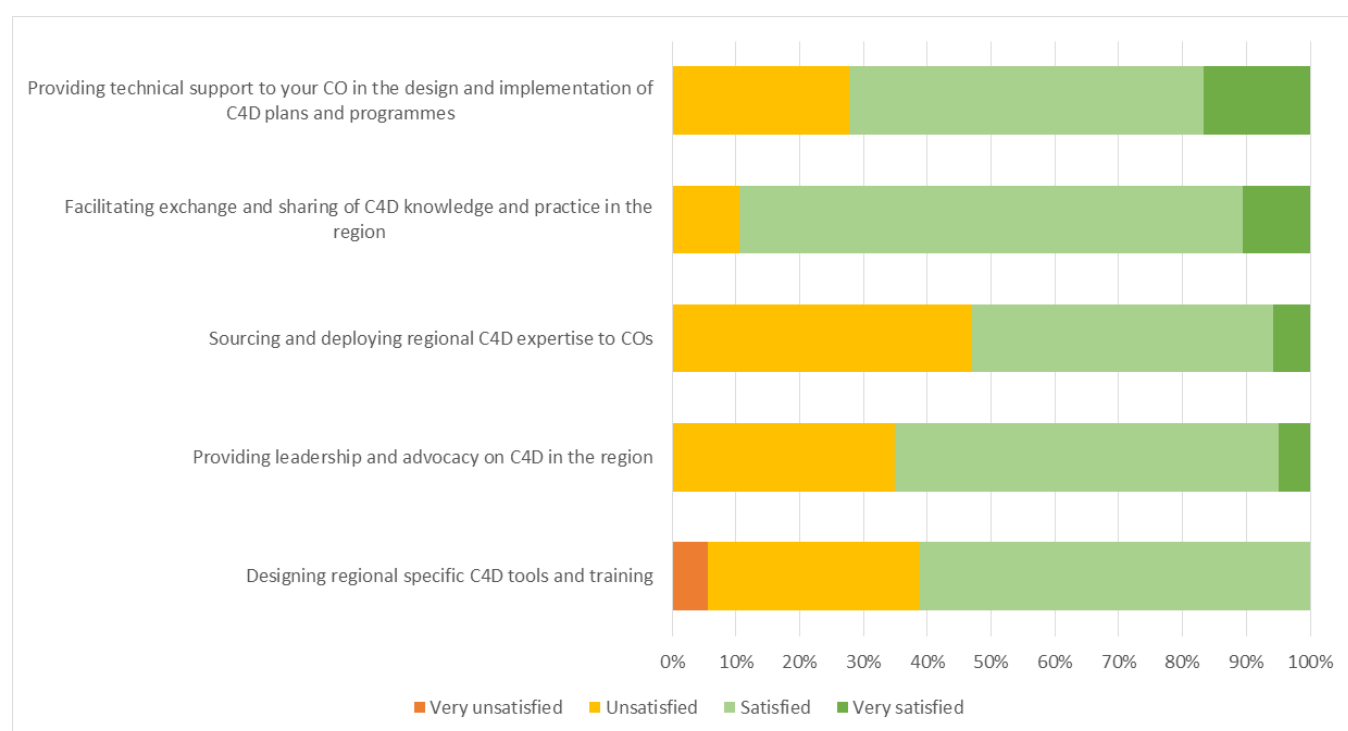


COs are only moderately satisfied with the support provided by the regional office. Only 60 % of the 25 country offices surveyed through the desk review were 'satisfied' or 'very satisfied' with RO's performance in four out of the five C4D accountabilities (see Figure 11). The area where RO's performance is strongest was facilitating exchange and sharing of C4D knowledge within the region; just under 90% of COs indicating they are 'satisfied' or 'very satisfied' with performance in this area. This is also supported largely through the country

studies. Our Nigeria case study for example, revealed very positive views on WCARO's role with regard to capacity building and facilitating knowledge exchange from UNICEF Nigeria.¹⁵¹

The areas where COs have the most scope for improvement was in sourcing and deploying regional C4D expertise to COs and designing regional specific tools. In the case of WCARO, the low levels of satisfaction around sourcing and deploying regional expertise is related to the challenges that UNICEF faced during the Ebola crisis in mobilising C4D expertise. We heard similar frustrations among COs from other regions that want the RO to play a more proactive role in developing a pre-vetted pool of expertise that COs can easily access for commissioning discreet piece of C4D work. The call for ROs to be more involved in the development of regional tools and guides was also echoed through country studies. UNICEF Ethiopia, for example, argued that RO should be more proactive in developing regional toolkits that take general advise around C4D and tailor it to the specificities of the region / country. With UNICEF's shift towards greater regional capacity development, it will be important ROs address these gaps.

Figure 11: CO satisfaction with how ROs are delivering on their accountabilities (Data source: Desk review survey)



Satisfaction ratings were lowest among ROs that lacked a full-time regional C4D advisor. Where there is no regional C4D specialist, CO satisfaction with how the RO is delivering against its C4D accountabilities is low. This was the case with LACRO, EAPRO and CEE/CIS.

¹⁵¹ They presented a very positive perspective on the annual C4D Network meeting organised by the regional advisor. This has been running for past 5 years and there was a real sense among the C4D staff that have attended that it was an effective way of building regional capacity. Testament to this is that the Nigeria office has sent three members of staff each year for the past 5 years.

Conversely, where there is capacity at the regional level, satisfaction with the ROs performance around C4D tended to be higher. This was the case with both ESARO and Middle East and North Africa (MENA). Given the relationship between satisfaction levels and the existence of this full-time role, the current efforts to ensure all ROs have a C4D lead are welcomed.¹⁵²

5.4 Efficiency of C4D capacity development initiatives

The assessment of efficiency focused on two main issues. First, the extent to which issues of efficiency had been considered during the design and implementation of the two global C4D courses. This required looking to see whether different implementation strategies had been considered during design, whether reach, cost and quality were effectively balanced during implementation, and whether synergies were identified between courses that created efficiencies or increased value. The second area of focus was whether there are efficiency issues which could compromise the future sustainability and/or scale up of the courses.¹⁵³

The Ohio and UPenn courses have effectively managed considerations for both economy and efficiency in the design and implementation of the training programmes. In the case of the Ohio course, structuring the course with online and face-to-face components was driven by the need to economise. There was too much technical material to cover in a two-week period, and the budget did not allow for additional face-to-face time, so an online component was introduced. This was an efficient way of covering a large amount of background material on C4D, before bringing people together. The face-to-face component was then used to go over past material, deepen participant's knowledge and cement their learning. The positive feedback from participants on the role the online forum played in supporting their knowledge development, suggests that this need to economise did not undermine the effectiveness of the course.

Similarly, the course made a number of decisions during implementation that pushed up costs, but were taken with the clear intention to improve the quality of the course. Moving the course from the US to South Africa and now India are illustrative of this. The feedback from the first couple of years of the course was that while the practical field work was valued, the types of behaviour changes that the local US NGOs were concerned with such as obesity or excessive use of fake tan, were far removed from the realities of many participants, and that this reduced the relevance and effectiveness of the practical work. Moving to South Africa, then to India was partly about relocating to a context where the practical would be more aligned with participants' needs. Although it pushed up costs in the short term, it improved the quality and relevance of the learning and helped to strengthen two local universities). The move was also linked to efforts to create opportunities for regional partnerships and networks and boost regional capacity development. In the long term this will increase the accessibility of the course to a much wider range of UNICEF staff and partners and improve the efficiency of the training.

In the case of UPenn, as an Ivy League school with high overheads, UNICEF recognised it was going to have to pay a premium when working with UPenn. However, these higher costs were weighed up with the fact that UPenn was a world leader in social norms research and would be

¹⁵² Strengthening C4D in UNICEF – Investment Options v28 July 2015.

¹⁵³ Efficiency is of course wider than these factors, however for the purposes of this evaluation, given the already wide scope, this was agreed as a manageable focus.

able to mobilise a high calibre of professors to teach on the course. Given one of the aims of developing the course was to establish the academic credibility of social norms as a concept within UNICEF, this decision made sense. The fact that the level of academic rigour of the course was appreciated by many participants and helped explain why so many chiefs and deputy representatives had attended suggests this decision paid off.

While the Ohio and UPenn courses are both addressing issues related to behaviour and social change, they were not designed or implemented in a joined up way and do not take advantage of any possible synergies. Although the Ohio course provides an overview of the full spectrum of C4D theories, concepts, method and tools from interpersonal to social change, the UPenn course focuses on one end of the spectrum (social change) and goes into depth around very specific approaches and theories. In this respect, the two courses are complementary and when they were developed it was envisaged that participants would first take the Ohio course and then move on to the UPenn course. This has not happened in practice. For some, the reason for this is because of a lack of funds among COs;¹⁵⁴ for others it is more to do with C4D not building sufficient links within the organisation, mapping a vision of how the courses fit together (and offer a continuum of support) and communicating this widely.¹⁵⁵ That the C4D Unit at NYHQ led the development of the Ohio course and Child Protection led the UPenn course will certainly have contributed to this fragmentation. The C4D Section needs to address this given the growing number of sector-specific courses on issues related to C4D.¹⁵⁶

Ohio and UPenn have been largely effective courses, however, the average costs associated with them per participant are too high to sustain and/or to enable significant scale up. The model of running a global course that brings people together face-to-face has its benefits, yet it is not the most cost-effective model of building capacity. Given the dual challenge facing UNICEF of both needing to deepen C4D capacity among those who have already been trained through follow-up and refresher training, and expanding core C4D capacities among a wider non-C4D audience, neither the Ohio nor UPenn training models are sustainable in the long term. The costs associated with both are too high to sustain indefinitely and/or to enable significant scale up to a wide range of participants. Drawing on the positive experience of running the online Ohio course, one option is to redesign both courses so they could be run through an online platform that can be freely accessed by anyone, UNICEF staff or partner. Then, in parallel, given the lower costs, and the ability to reach a much wider number of staff, country and regional-level training could be run that, similar to the Ohio course, are used to deepen participants' knowledge and provide opportunities for practical application.¹⁵⁷ Interestingly, this approach is already being pursued for UPenn and is being considered for the Ohio course.

¹⁵⁴ Ibid.

¹⁵⁵ HQ key informant 5.

¹⁵⁶ For example, NYU course on C4D in Global Epidemics/Outbreaks and a discounted course on C4D at Malmo University in Sweden.

¹⁵⁷ HQ key informant 2.

5.5 Sustainability of C4D capacity development initiatives

The evaluation's approach to assessing sustainability was to look across the desk review and case study countries at what technical, organisational and financial factors could erode the sustainability of the results that have been achieved from the capacity development initiatives. Presented below are the issues that were most prevalent across the sample.

Investment in building the capacity of not only C4D staff but also programme staff who conduct C4D activities and senior managers that resource C4D is key to sustaining the achieved capacity gains. As discussed in section 5.2.2, while the focus within UNICEF to date has been on building the knowledge and skills of a cadre of C4D staff through initiatives such as the Ohio course, the ability of these staff to put their knowledge into practice is sometimes being undermined by the relatively weak understanding of C4D among programme staff more widely and the sceptical view of C4D's value among some senior managers. This was raised in three of the five country case studies.¹⁵⁸ This poses a risk to sustaining the capacity results that have been achieved through training and other capacity development activities, because staff who struggle to apply their skills after a course will quickly forget their new knowledge. This is well supported by the wider evidence on capacity development and adult learning which argued that for learning to become embedded in behaviours, it needs to be applied immediately after the training – the longer the delay the higher the chances for forgetting.¹⁵⁹ The role that managers can play in this is particularly important, as they can create an enabling environment for behaviour change.¹⁶⁰

Staff turnover is a factor in many country offices that could undermine C4D capacity gains. Staff turnover was mentioned in all five of the country studies as a factor that could undermine the results that have been achieved through C4D capacity development. In Kyrgyzstan it is estimated that one third of those taking part in the CO level C4D training delivered since 2011 have now left.¹⁶¹ While turnover is a perennial problem with any capacity development,¹⁶² it is important that COs recognise the risk and plan for how to mitigate it. In Vietnam and Ethiopia, the COs argue that their use of national officers is one way of addressing this issue as they are not subject to rotation. Distributing C4D capacities among a wider group of staff rather than only training up C4D specialist is another approach. It is also important to caveat this finding with the fact that while staff turnover does impact COs, many staff move within UNICEF, so although a CO may lose capacity in C4D, UNICEF does not.

¹⁵⁸ In Ethiopia for example, C4D specialists felt that there are limits to what they can achieve in terms of integrating C4D in Section plans and programmes, unless programme staff have a better basic knowledge of C4D. Likewise, in Nigeria, staff who have been on the Ohio and UPenn courses felt curtailed in what they can achieve due to colleagues from Programmatic Sections, particularly section chiefs, being unconvinced of the value of C4D. The same issue emerged in Vietnam.

¹⁵⁹ Principles of adult learning theory adults learn best when there is a relevant and timely need for information and when learning can immediately be put into practice (Source: Speck, M. (1996) Best practice in professional development for sustained educational change, ERS Spectrum, V14, No2, pp. 33–41).

¹⁶⁰ Martin, H. J. (2010). Improving Training Impact Through Effective Follow-Up: Techniques and Their Application. *Journal of Management Development*, 29(6), pp. 520–34.

¹⁶¹ Kyrgyzstan case study.

¹⁶² Itad (2016) Evaluation of Norwegian support to capacity development, Norad, Oslo.

Lack of follow-up and the provision of ongoing capacity support present risks to sustainability. In a number of case study countries, there was concern that sending staff on C4D training, without any structure in place to support them once they return to their country office can also undermine sustainability. The need for structured follow-up and the diminishing value of training in its absence is well document in the literature on training effectiveness.¹⁶³ This was raised by both UNICEF Vietnam and Kyrgyzstan. In the case of Kyrgyzstan, there was concern that with limited support from within the CO around C4D or at the regional level through the CIS regional office, the myriad of challenges that C4D staff can face in putting knowledge into practice, can mean in reality their learning is not applied and quickly forgotten. The call was for more refresher training and ongoing capacity support, rather than one-off courses. The same issue was raised in UNICEF Vietnam, where country office level training was provided in 2012 which raised interest and expectations around C4D, but no follow-up has been provided since. It was noted that the benefits of this initial training have long gone.

Inadequate financial resources to implement C4D interventions also presents a risk to the sustainability of capacity gains. The extent to which there are resources in place in a CO to design and implement C4D initiatives was identified across both desk reviews and country case studies as a key factor, which could erode any capacity gains that have been achieved to date. The absence (or inadequacy) of resources for C4D means that staff that have attended training such as the Ohio or UPenn courses are unable to put their skills into practice. Over time this can lead to a loss of knowledge and gradual de-skilling. The lack of resources I closely linked with the finding above about technical staff not understanding C4D and senior managers not always seeing its value.

¹⁶³ Martin, H. J. (2010). Improving Training Impact Through Effective Follow-Up: Techniques and Their Application. *Journal of Management Development*, 29(6), pp. 520–34.

6 Integration of C4D at the country, regional and HQ levels

KEY FINDINGS

- At **country level**, the picture of how well C4D has been integrated into structures, strategies, plans and resourcing is mixed. While COs such as UNICEF Kenya and Bangladesh stand out, many have significant room for improvement. In the majority of COs reviewed, the level of C4D integration is currently not sufficient to meet programming requirements. Common gaps include:
 - The absence of a clear vision and strategy for C4D either at the level of the country programme or individual sections
 - A lack of C4D integration into core planning documents such as the Situational Analysis and an ambiguity in C4D's position in and contribution to the Country Programme Results Framework
 - A failure to report on C4D in a meaningful way through annual reports and a tendency to list what has been done (C4D activities) rather than what has been achieved (C4D outcomes).
- C4D integration in resourcing is a notable gap. Across most COs, human and financial resources are largely insufficient to meet the needs of the country programmes. C4D staff are often overstretched and C4D initiatives are frequently underfunded. COs are addressing these constraints through a range of approaches such as: establishing formal mechanisms (e.g. percentage caps from sections, C4D involvement in proposal processes) to mobilise resources and using focal points to expand C4D capacity.
- Experiences of joint working between C4D and external communication varies between COs. In large country programmes where C4D and Communications each have substantial portfolios, collaboration is positive and done on a needs basis. In middle-income countries where upstream work is expanding and direct implementation is diminishing, the scope for overlap and ambiguity between the two functions increases. Given the wide remit of C4D within UNICEF there will often be overlap between what C4D does and the work of others. Finding ways for C4D to work with functions such as External Communications and/or Public Advocacy in a complementary and synergistic way is a key challenge for UNICEF.
- While there has been progress in integrating C4D at the **regional level**, it has been slow and there remains scope for improvement. The recruitment of C4D regional advisors in four ROs is a positive development and had been central to strengthening integration in these four regions (WCARO, ESARO, MENARO and ROSA); the other three regions need to follow suit. WCARO and ESARO stand out as ROs that have invested significantly in C4D at the regional level and could offer support and guidance to other ROs strengthening their C4D capacity. Looking ahead, ensuring adequate capacity at the regional level is an important area for UNICEF to consider, not least because of the current discussions around greater regionalisation of C4D capacity development.
- At **NYHQ level**, C4D is well integrated into the 2014–17 Strategic Plan with behaviour and social change reflected in all sector results areas, but its positioning under the 'capacity

development' and 'service delivery' implementation strategies has resulted in less profile in reporting on C4D across the organisation. In terms of resourcing, the C4D Section is stretched. While its promotion to a section was positive, this did not come with an associated increase in funds. While the section has been able to mobilise funds through a range of sources, these arguably do not match the ambitious agenda it has developed.

6.1 Introduction

The following section presents the findings on how far C4D has been integrated into UNICEF's office structures, strategies, plans and resourcing at country, regional and global levels and assesses whether or not the degree of integration and coverage of C4D is sufficient to meet programme requirements. To structure the analysis, C4D integration has been unpacked into four dimensions (see Figure 12):

- a. Integration into strategy
- b. Integration into planning
- c. Integration into resourcing
- d. Integration into monitoring and reporting

This lens is applied at each level of UNICEF to varying degrees. Our analysis of integration at the country level is the most in depth. Across the 25 desk review and country case studies, to ensure consistency across each dimension, a scoring scale is used to judge the level of integration in each CO. In addition, to these four dimensions, at the country level an assessment is also made of the way the C4D function is structured, and the strengths and weaknesses of this, and how C4D and external communications interrelate. At the regional level, an analysis is undertaken of C4D integration into strategy, planning and reporting as well as the staffing arrangements for C4D and how both have changed between 2010

and 2015. At the NYHQ level there is a focus on how C4D is integrated in the 2014–17 Strategic Plan and how this compares with the 2008–13 MTSP, as well as staffing arrangements and funding for C4D at HQ over the 2010–15 period. The findings presented in this section have been informed by a range of data sources. At the country level, the primary data sources are 20 country desk review and five country case studies. At regional and HQ levels, the evidence comes from key informant interviews and document review.

This section is structured in three main parts: first, the findings of the assessment of integration at country level are presented (6.2), second at regional level (6.3) and finally, at NYHQ level (6.4).

Figure 12: Four dimensions of C4D



6.2 Integration of C4D at the country level

6.2.1 Existence of C4D strategies

In the assessment of C4D integration, one of the issues the evaluation looked for was whether a CO had a C4D strategy, this could be overarching and at the level of the CO, or be sector focused and at the level of individual sections. Irrespective of its form, it should outline a clear vision for the role of C4D in the country programme and priority areas for focus. Table 10 below details the criteria used to make this assessment and the results from across the desk review and case study countries.¹⁶⁴

Table 10: Number of COs that have articulated a clear strategy for guiding C4D action on a 4-point scale (n=25)

C4D Strategy				
Assessment criteria <ul style="list-style-type: none"> Overall C4D strategy developed for the CO and/or strategies exist for all relevant technical sections Strategy(ies) underpinned by a capacity needs assessment 	1. Absence of C4D strategy(ies)	2. C4D strategy(ies) exists, but major gaps/ areas for improvement	3. C4D strategy(ies) exists, but with some gaps/areas for improvement	4. High quality C4D strategy(ies) exists, that sets clear strategic vision
	1 CO	8 COs	12 COs	4 COs

Although there was evidence of C4D strategies for some thematic areas throughout the desk review countries, overall CO-wide C4D strategies were not commonplace. Across the reviewed COs, four were considered to have a high quality C4D strategy(ies) that met all criteria, these were: Kenya, Somalia, Bangladesh and Nigeria. Kenya stood out as particularly strong (see Text Box 2 for more details.) In some offices there was evidence of discussion and thinking around C4D but this was not written down, or if it was, there was no one document that clearly mapped out the vision and strategy for C4D in the country office. While some COs suggested that a loose set of concept notes, policy briefings and/or ‘C4D response papers’ were sufficient to guide C4D interventions, but without a comprehensive formalised strategy (or at least a complete set of sectoral strategies) there is the risk that the CO has not an overarching vision that people can understand and by-into. This can lead to C4D staff and partners feeling direction-less and can make communication of C4D’s added value in the CO more challenging.¹⁶⁵

¹⁶⁴ Haiti did not provide sufficient data for a judgement to be made on this issue, therefore this assessment is based on a sample of 24 COs, not 25.

¹⁶⁵ In Ethiopia we heard from field offices that they are unsure what the C4D strategy is because there has been no over-arching strategy update since a major re-organisation of C4D midway through the 2012–15 programme).

In other COs, C4D strategies existed but only for certain sections and it was not clear why some of these had been selected and not others. Lastly, in some COs, C4D strategies were in the process of being developed. This was especially the case for COs in which a new CPD is about to start.¹⁶⁶ Given the time frame for this evaluation only those strategies that had been completed could be reviewed.

Few COs have underpinned their C4D strategies with a formal capacity needs

assessment. Only Kenya, Nepal, Myanmar and India have done this. Bangladesh is in the process of commissioning an institutional capacity assessment, but this was not completed at the time of writing. The lack of capacity assessment is problematic given the importance of partner capacity development to the success of C4D. Any C4D strategy that is not underpinned by a systematic assessment of the strengths and weaknesses in partners capacity to design and implement C4D programmes, is unlikely to have a clear sense of what the impediments to strategy implementation might be.

Text Box 2: UNICEF Kenya's C4D Strategy

UNICEF Kenya has a cross-sectoral C4D strategy that is underpinned by an analysis of partners, external capacity developments, evidence generation, and a clear assessment of the internal capacity required to deliver the strategy. The strategy is supported by a roadmap of milestones for rollout. The Kenyan CO has also commissioned a C4D Capacity Gap/Needs Assessment Report relating to external partners. This focuses on building the capacity of frontline implementers, as well as those who support them at each level (e.g. local supervisors, programme managers, programme directors, UN/NGO/CBO teams). It also details plans to address the capacity of 'upstream' policy makers and leaders.

6.2.2 Integration of C4D into programme planning

Ensuring C4D is reflected in the core planning processes of a CO is central to effective integration. Unless C4D is profiled in the core planning documents of the country office, such as the Situational Analysis (SitAn), the Country Programme Document (CPD) and the associated results framework, there is a high risk that integration will be piecemeal, or at worse, not addressed at all. Table 11 below outlines the criteria used to assess the level of C4D integration into CO planning processes, and the results of this assessment across the desk review and country case studies.¹⁶⁷

Table 11: Extent to which COs have integrated C4D into core planning processes (n=25)

C4D Planning				
Assessment criteria:	1. Absence of	2. Limited C4D	3. High level of	4. High level
• Situational Analysis includes a detailed analysis of behaviour	C4D in planning processes and	integration in the planning of the office.	C4D integration in all stages of	of C4D integration in all stages of

¹⁶⁶ Both UNICEF Vietnam and Bangladesh re developing C4D Strategy Notes for their upcoming CPD).

¹⁶⁷ Haiti did not provide sufficient data for a judgement to be made on this issue, therefore this assessment is based on a sample of 24 COs, not 25.

and social norms barriers and opportunities and the enabling environment for communications	documents of the office	Major/areas for improvement	planning, but with some gaps/areas for improvement	planning across the office
<ul style="list-style-type: none"> C4D results have been established with the Country Programmes Results Framework or matrix 	1 CO	11 COs	12 COs	1 CO

Across the desk review and case study countries, the level of C4D integration into core CO planning processes and documents is highly variable. Across our sample of country offices, just over half had high levels of C4D integration in planning processes (most however with some scope for improvement), while half had limited integration or in one case C4D was completely absent from planning (see Table 11). This reveals a highly variable picture across UNICEF country offices. The only country that was judged to have effectively integrated C4D into all core planning process was Bangladesh (see Text Box 3 for more details).

Text Box 3: UNICEF Bangladesh's efforts success in integrating C4D into planning processes

UNICEF Bangladesh has made important efforts to embed C4D in planning processes. There has been a consistent focus in UNICEF Bangladesh's SitAn to identify constraining social norms and C4D strategies to address them. In the current CPD Results Matrix, C4D approaches such as social mobilisation, community-led social change and advocacy have been integrated across all results areas and C4D has its own outcome and three outputs. C4D is part of the programme management team. It is included in all requests for formal planning inputs into the CPD and the Country Programme Management Plan process and internal submission to the Integrated Monitoring, Evaluation and Research Plan.

C4D is not effectively integrated into the Situational Analyses' of the majority of COs assessed through the desk review and country studies. The SitAn is an assessment and analysis of the country situation, with respect to children's and women's rights and critical issues affecting their realisation. It plays an important role in filling key knowledge gaps within a CO's research agenda and setting the context for the development of national development strategies.¹⁶⁸ In this respect, the SitAn is a foundational document for shaping UNICEF plans at a country level. From the perspective of C4D, the SitAn is an important opportunity to introduce C4D thinking and analysis into CO-wide planning.

Across the desk review and case study countries, the majority of COs included only a cursory analysis of norms and attitudes in their SitAns. In only a limited number of cases did SitAns provide a detailed analysis of behaviour and social norms barriers and opportunities and the enabling environment for communications.¹⁶⁹

¹⁶⁸ PPPM.

¹⁶⁹ UNICEF Mozambique.

In some cases evidence was found of a more detailed analysis of the barriers and opportunities for social norms and attitudes being undertaken at the level of sections¹⁷⁰ and in some cases through regional/subnational SitAns.¹⁷¹ While it is important that this type of analysis is taking place, even if not included in the SitAn, there is a risk that developing understanding around barriers and opportunities at the level of sections means thinking and strategy around C4D becomes fragmented, opportunities are missed for cross programmatic working, and C4D is only integrated into the planning of sections where there is interest, rather than across the country programme as a matter of course. It also misses the bigger picture that there are deep-rooted social norms that affect all sectors and need focused strategies to address them.¹⁷²

Across the desk review and case study countries, C4D results are reflected in all Country Programme Results Framework to varying degrees, but the clarity with which they are articulated is often low. Similar to the SitAn the Country Programme Results Frameworks/Matrix is an important planning document at country level which articulates the key results that UNICEF is working towards with government. It also provides the basis for accountability within the CO as sections are assigned ownership for specific outcomes and outputs. The results framework therefore provides an important opportunity to articulate what C4D is seeking to achieve through a country programme and how it will support the work of others.

While no cases were found of C4D being completely absent from a Country Programme Results Framework, how it is presented in the framework varies. Across our sample of COs, C4D was positioned in the results framework in three different ways. In two country offices C4D had a stand-alone outcome, in eight it was a cross-cutting outcome shared with advocacy, partnerships and/or external communications, and in the remaining 15 C4D results were at the level of outputs.

Having C4D as an output is very much in the spirit of integration, as it positions C4D as an enabler for sector results. However, across the sample of results frameworks reviewed, it was frequently not clear how the outputs linked to high-level outcomes (see Section 8 on Evaluability for further details). This suggests a lack of clarity in CO thinking around the role of C4D and its contribution to the country programme. The problem with not having clarity around such fundamental issues in the results framework is that C4D starts to become invisible. While there may be many C4D activities taking place across the country programme, if these cannot be clearly linked to tangible results in the results framework, it becomes difficult to make the case for why C4D should be involved in a programme or why a proposal should include more funding for C4D strategies.

The story of what C4D was seeking to achieve tended to be easier to understand in Country Programme Results Frameworks where C4D had been positioned at outcome level. However, the positioning of C4D as an outcome also has its challenges. A stand-alone C4D outcome can ensure that C4D has high-level positioning and visibility in the CO and that accountability for quality of C4D programming remains with staff with C4D expertise. What remains critical,

¹⁷⁰ UNICEF DRC, Egypt, Ethiopia.

¹⁷¹ UNICEF Ethiopia.

¹⁷² HQ key informant 7.

however, is to ensure that the main priority of C4D is to support achievement of programme outcomes while avoiding the perception of developing parallel activities within the country programme. In order to do this, agreement between C4D and other programme sections regarding priorities, expectations and resourcing of activities is critical. Funding also raises challenges. C4D may have accountability for delivering a C4D outcome, but still have to mobilise resources from across sections. This dynamic was playing out in a number of country offices visited, particularly Bangladesh.¹⁷³ Ensuring that C4D is properly embedded in resource mobilisation and allocation is critical.

6.2.3 Human and financial resources for C4D

Ensuring adequate levels of resourcing for C4D is essential to integration. In order to design and implement high quality, evidence-based C4D strategies sufficient financial resources need be available. Likewise, for C4D to effectively service the needs of the country programme appropriate numbers of staff need to be in place. Without resources, the ability of C4D to deliver results is curtailed. Table 12 below outlines the criteria used to assess the level of C4D's integration into CO resourcing, and the results of the assessment across the desk review and case study countries.¹⁷⁴

Table 12: Extent to which CO's financial and human planning and resources meets the need of the country programme (n=24)

C4D resourcing				
Assessment criteria: <ul style="list-style-type: none"> • Systematic mechanisms are in place for ensuring adequate resourcing of C4D • C4D staff numbers in line with the needs of the country programme¹⁷⁵ • Financial allocations in line with needs of the country programme¹⁷⁶ 	1. C4D human and Financial planning and resources are wholly inadequate in relation to the needs of the CP	2. C4D human and financial planning and resources are largely inadequate in relation to the need of the CP	3. C4D human and financial planning and resources generally meet the needs of the CP but gaps exist	4. C4D human and financial planning and resources meet the needs of the CP
	0 CO	15 COs	7 COs	2 COs

Human and financial resources are low and largely insufficient in the majority of desk review and case study countries reviewed. Human and financial resources for C4D are low or limited in the majority of countries sampled and not sufficient to satisfy the overall needs of

¹⁷³ See Bangladesh case study for further details.

¹⁷⁴ Haiti and Sudan did not provide sufficient data to enable a judgement to be made on this issue, therefore the sample is 23 not 25 countries.

¹⁷⁵ The evaluation team's judgement of whether staffing was in line with the needs of the country office, was made based on the evaluation team weighing up the evidence of the specific demands for C4D across the country programme, with what it heard from C4D, programme staff and senior managers through interviews and the desk review survey on the appropriateness of current staffing levels.

¹⁷⁶ The evaluation team's judgement of whether financial allocations were in line with the needs of the country office, was made based on the evaluation team weighing up the evidence of the specific demands for C4D across the country programme, with what it heard from C4D, programme staff and senior managers on the appropriateness of financial allocations and the financial data that was made available.

the country programmes (see Table 12. In seven countries the level of resources for C4D largely met the needs of the country programme, but with gaps. In only two countries (Kenya, India and Mozambique) were C4D resources judged by the evaluation to fully meet the needs of the country programme (see Text Box 4). The lack of both human and financial resources was a significant source of friction in a number of the country case studies and was one of the main impediments to proper mainstreaming of C4D.¹⁷⁷

Text Box 4: Kenya human and financial resources for C4D

UNICEF Kenya has seen expenditure on C4D rise incrementally from less than 1% of total programme expenditure in 2013, to 2–5% in 2014 and 5–10% in 2015. The desk review survey indicated that the CO perceives that current levels of financial and human resources available for C4D are ‘to a large extent’ sufficient to meet the demands of the country programme.

Since 2012 the C4D Section has proactively tried to engage with section chiefs to position C4D better in donor funding proposals and appears to have succeeded. Successful collaborations and good working relationships between C4D and other sections within a matrix management structure has also helped mobilise resources for C4D from donors via sections.

Across the desk review and case study countries financial resources for C4D are too low to effectively meet the needs of the country programme. The desk review survey revealed a variable picture among COs with regard to the sufficiency of financial allocations to C4D, but on balance, points to resources being largely insufficient for meeting country programme needs. Ten out of 24 COs judge current financial resources as either ‘not sufficient at all’ to meet the needs of the country programme, or ‘to a small extent’.¹⁷⁸ The desk review indicates that the majority of COs allocated between 2 and 5% of their overall programme expenditure to C4D.¹⁷⁹

Evidence from the country case studies validates this pattern. In all five, the evaluation found that financial allocations to C4D were low and largely insufficient to meet country programme needs. In Bangladesh a recent mid-term review (MTR) of the CPD raised serious concerns about the shortfall in funding to C4D. In Vietnam there was a strong view that C4D activities were always underfunded. In Nigeria, C4D staff complained of constantly having to go cap in hand to section colleagues for resources.

COs regularly under budget for C4D in proposals; a key reason for this seem to be the lack of systematic engagement of C4D teams/leads in the proposal process. A key challenge related to C4D resource mobilisation that emerged from the desk reviews and country studies is ensuring C4D is included in funding proposals. Where financial resources for C4D are constrained, the lack of involvement by the C4D team or lead in resource mobilisation strategies is frequently a key reason. This was the case across the majority of the countries in our

¹⁷⁷ Nigeria case study; Bangladesh case study.

¹⁷⁸ Desk review survey: 11 out of 24 COs think it is sufficient, but only to a ‘moderate extent’; 3 out of 24 COs view the level of resources allocated to C4D as ‘sufficient’.

¹⁷⁹ As part of the desk review survey COs were asked to estimate the percentage of the country programme budget allocated to C4D. The majority of COs have allocated between 2 and 5% of their overall programme expenditure to C4D. In 2013 out of 24 COs 10 allocated 2–5% to C4D. In 2014 this increased to 14, while in 2015 this dropped to 10 again. The next most frequent expenditure bracket is less than 1% of country programme expenditure.

sample.¹⁸⁰ Interestingly, In Bangladesh, in recognition of this problem, the C4D Chief is now included in the Resource Mobilisation Committee. This will enable advocacy for inclusion of C4D components in all resource mobilisation efforts

The challenge for C4D is that it rarely fundraises for itself; it relies on sections with the input of C4D staff. With this arrangement, C4D input into funding proposals is not always guaranteed, either because it is not solicited by sections, or C4D fails to persuade colleagues. As a result, in most COs, whether C4D is included in proposals (and adequately budgeted for) is linked to the persuasion and diplomacy of the individuals involved, rather than a systematic and strategic allocation of resources within the CO. This pattern was observed in four of the five country case studies.¹⁸¹ A number of countries have sought to address this issue by putting in place mechanisms for ensuring resource allocation such as percentages, cap or levies from programmatic sections for C4D.¹⁸² Sometimes these mechanisms are formal, other times informal.

A perceived reluctance from donors to fund C4D is another impediment to effective resourcing of C4D. Another reason given for resource constraints was donor reluctance to fund C4D. This was raised across all five country case studies. Informants noted how donors are rarely willing to fund interventions that are exclusively C4D and that it can be challenging to convince donors of the value of C4D strategies given the lack of tangible outputs. At the same time there appears to be strong awareness of the need to tackle this donor challenge, whether real or perceived. To do so requires robust evidence that C4D strategies are effective and good value for money. But therein lies the difficulty, namely that evidence generation invariably costs money (especially if independent quasi-experimental longitudinal studies are commissioned externally), so where budgets are tight – which is almost everywhere – there are limited funds for evaluation research (see Section 8 on Evaluability for further discussion of this.) Addressing this challenge also requires C4D to be effectively integrated into proposals and resource allocation.

Linked to challenges in generating evidence is the lack of clarity around C4D results. Given that money is mobilised and allocated for specific outputs and outcomes, poorly defined C4D-related results are problematic. Often, lack of clarity around what is the behaviour change that is being sought and the process needed to achieve it contributes to a lack of clarity around what level of resources need to go to C4D. This makes convincing donors of C4D value more challenging.

Funding for C4D in education, humanitarian and social inclusion is the most under-resourced. The gaps in funding for C4D are not evenly distributed across Sections. Across the 25 desk review countries, it was clear that some sections are better resourced than others. As detailed in Figure 13 below, the sectors where the current financial allocation for C4D is most out of kilter with the needs of the country programme are: Social Inclusion, Humanitarian/

¹⁸⁰ Desk review survey: 5 out of 25 COs said that C4D team leader/chief was not at all involved in resource mobilisation strategies; 11 out of 25 said they were involved to a 'small extent'; 5 out of 24 to a 'moderate extent'; 3 to a 'great extent'.

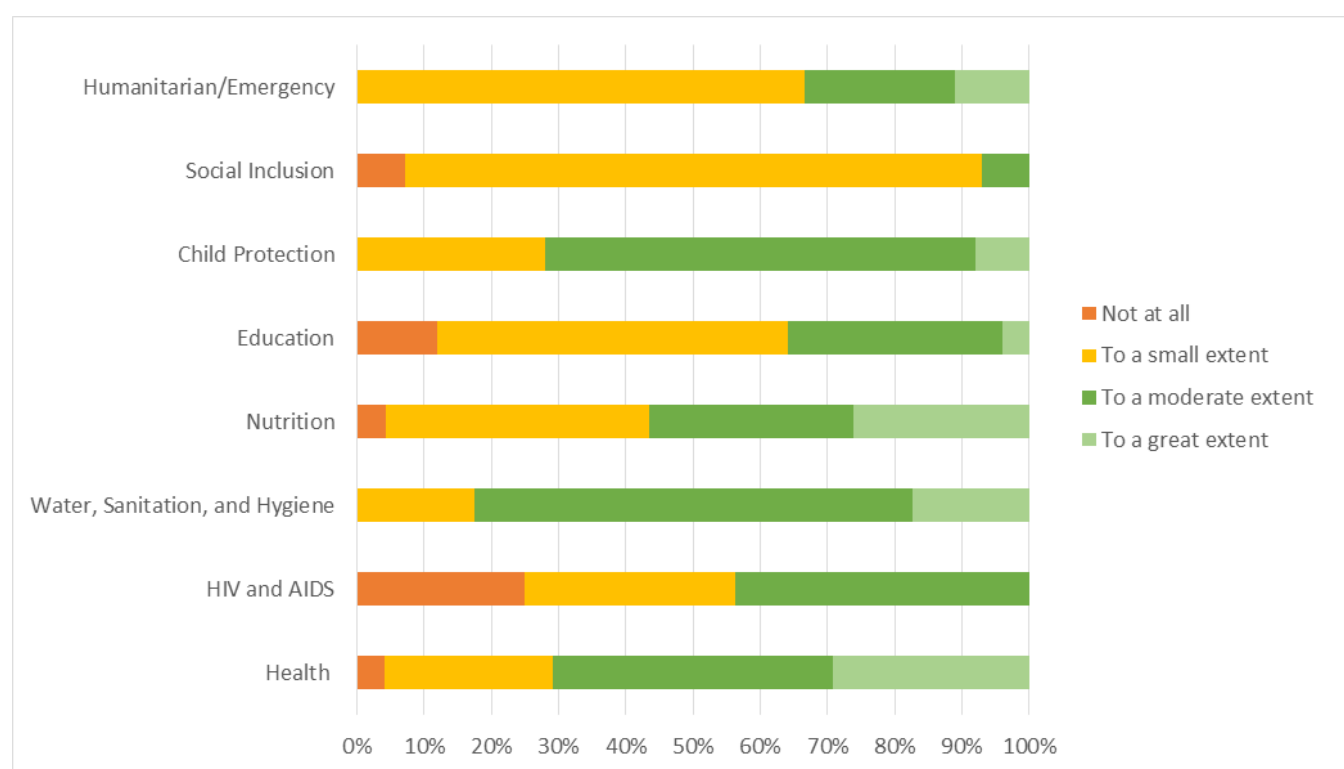
¹⁸¹ Ethiopia case study, Bangladesh case study, Vietnam case study and Nigeria case study.

¹⁸² In UNICEF Mozambique, India, Myanmar, Egypt, Kyrgyzstan.

Emergencies and Education.¹⁸³ In each of these sections a majority of COs indicated that financial allocations were either ‘not at all’, or only ‘to a small extent’ sufficient to meet current needs.

Across the desk review and case study countries, human resources for C4D are stretched and struggling to meet the needs of the country programme; however, it not clear whether additional recruitment is always the most appropriate response. Across our sample of countries, C4D staff are struggling to meet country programme needs. Of 25 COs, 10 view current staffing numbers as either ‘not sufficient’ for the needs of the country programme, or only ‘to a small extent’; 12 view it as sufficient, but only to a moderate extent. Only three consider the level of resources currently allocated to C4D as sufficient. Through the country case studies, the evaluation heard across a wide number of informants how C4D staff are struggling to meet the requests of section colleagues.

Figure 13: Desk Review COs' assessment of the extent to which current levels of financial allocations for C4D meet the needs of each of their Sections (n=25)



One approach used across a number of offices to handling the squeeze on staff is focal points. Focal points are technical sector specialists who have C4D responsibilities bolted onto their

¹⁸³ Desk review survey: In the case of Social Inclusion 13 out of 14 COS (93%) indicated that financial allocations were either not at all aligned to the needs of the country programme or only to a small extent: for Humanitarian/Emergencies it was 12 out of 18 (67%) and for Education 16 out of 25 (64%).

day-to-day role. They are used in Ethiopia, India and Myanmar with Kyrgyzstan and Vietnam being considered. A lower cost response to meeting the demand for C4D support, focal points have their challenges. First, focal points can struggle to deliver on their C4D role alongside their other technical responsibilities. While building C4D responsibilities into the job description and performance assessment is important to ensure they prioritise their C4D tasks, this may not be enough. In Ethiopia, for example, focal points at the regional level are overwhelmed because not only are they trying to provide technical assistance, but also having to do significant advocacy and capacity development work in the face of low levels of understanding of C4D at region level. Second, while a low cost option focal points still require up-front investment to build their capacity and ongoing support and refresher training. A failure to recognise this will reduce their effectiveness.

Another approach to handling the pressure on C4D staff is to leverage external expertise for short-term assignments/deliverables. While work planning and management is managed by the core C4D team, focused deliverable based work (strategy documents/creative campaigns, specialised packages etc.) is outsourced, with C4D staff providing technical advice and quality assurance as well as linkages with other initiatives. This approach is currently being rolled out in UNICEF Bangladesh and has been pursued for some time in Nigeria with mixed success. The challenge in Nigeria has been that external experts has been contracted by sections directly because of frustration with C4D not being able to respond to their needs in a timely enough way. As a result, C4D staff are not always aware of the C4D work being contracted out, and therefore lack oversight on what is happening. While this model seems promising, to work effectively it is important that C4D continues to have an overarching view of what is happening, otherwise efforts will become fragmented.

Pressure on staff need not always require additional recruitment either on a full-time or consultancy basis. Some countries certainly require additional staffing, but there are others where there is already a relatively large C4D team and where the pressure on C4D staff might be better addressed by existing staff focusing more of their time building internal capacity among programme staff to cover C4D requirements themselves. Arguably, this is a more sustainable option and better supports the mainstreaming of C4D in programmes. In the face of budget constraints this is also possibly a more practical response.

In some COs – notably Nigeria and Bangladesh (among others) – it was also suggested that the way to address the pressures C4D staff are under is by having a better defined strategy for C4D support in the CPD. Recognising that without a significant increase in resources C4D cannot be fully integrated, a clearer focus on a more manageable number of behaviours to target and to invest in changing would free up C4D staff time and allow them to focus their support better.

6.2.4 Integration of C4D in monitoring and reporting

As part of the assessment of C4D integration, the evaluation also looked at how well C4D has been included in the monitoring and reporting of country offices. This included looking at how well C4D is reported through results assessment modules, annual reviews and MTRs, the presence of C4D related indicators and their quality. Table 13 below outlines the criteria used to

assess the level of C4D's integration into COs monitoring and reporting, and the results of the assessment.¹⁸⁴

Table 13: Extent to which COs have integrated C4D into monitoring and reporting (n=25)

C4D monitoring and reporting				
Assessment criteria	1. Absence of C4D in monitoring processes and reporting of the office	2. Limited C4D integration in monitoring and reporting. Major gaps/areas for improvement	3. Good C4D monitoring and reporting, but with some gaps/areas for improvement	4. High quality C4D monitoring reporting processes
<ul style="list-style-type: none"> C4D is substantively reported on through the Results Assessment Module/Matrix and annual reports Monitoring and reporting covers C4D activities and outputs as well as the effect these have on behaviour and social norms change (outcomes) 	0 CO	17 COs	8 COs	0 CO

Among the desk review and case study countries, there has been limited integration of C4D into CO level monitoring and reporting. No desk review countries were considered to have high quality C4D monitoring and reporting (see Table 13 above). Most countries had limited C4D integration in monitoring and reporting while several had good C4D monitoring and reporting but with some gaps and areas for improvement. Among those that were rated as good,¹⁸⁵ C4D tended to be regularly and substantially reported in annual reports and the MTR process but there are big areas for improvement in terms of reporting on outcomes as well as activities and outputs. The general weakness in C4D monitoring and reporting is perhaps unsurprising given the skills gap that exists in M&E across many COs (see section 5.3.1). The positioning of C4D in the 2014–17 UNICEF Strategic Plan has also contributed to the poor C4D reporting. While in the 2012–15 MTSP C4D was a self-standing implementation strategy, and had mandatory reporting requirements, in the current Strategic Plan it sits under capacity development. This has diluted the extent of C4D reporting.

It is often difficult to identify C4D results in CO level reporting. Activities and spending are hidden in programme sections' reporting. In most of the desk review and case study countries, details on what is being done and achieved on C4D are often hard to find in annual reports. This has changed over time. While under the 2006–13 MTSP it was mandatory to report on C4D as a stand-alone cross-cutting strategy, since 2014 there is no longer separate space for it in the annual report format. This may have led to less effort being spent on reporting on C4D and it has certainly made it less visible, as it is now spread across sections rather than found in one place.

The reporting that does take place tends to be around what had been done and the number of people reached rather than what behaviour change results have been achieved as a result of C4D. A consistent finding across country offices was that C4D reporting was activity and output

¹⁸⁴ Data was missing from Haiti and Niger on this criterion, bringing the sample down to 23 instead of 25 countries.

¹⁸⁵ UNICEF DRC, Egypt, Jordan, Myanmar, Somalia, Sudan and Kyrgyzstan.

based, rather than outcome focused. This was noted across a wide range of COs.¹⁸⁶ In only a few instances was there outcome level reporting.¹⁸⁷ A key reason for this was that the behaviours that were being sought were often not clearly defined in the results framework and the indicators for measuring were of poor quality. (See Evaluability, section 8 for more discussion).

6.2.5 Structure of the C4D function

There is a diversity of ways in which the C4D function can be structured; CO's that make the most of their structure tend to have a good understand of its relative strengths and weaknesses. Across our sample of COs, there appears to be five different ways in which the C4D function is structured at country level.¹⁸⁸ These are detailed in Table 14 below.

Table 14: Typology of ways in which the C4D function is structured across UNICEF country offices

Type	Typical management characteristics	Example countries
1. C4D is a stand-alone Section	Unit, team or sometimes just one C4D officer reports to Dep. Rep or Rep. Typically headed by a C4D chief working with several C4D officers and/or focal points in HQ and district/regional offices. In larger countries C4D officers in districts/regions report to their respective regional chiefs	Sierra Leone, Myanmar, DRC, Bangladesh (post-2012), Egypt, Azerbaijan, Nigeria, ¹⁸⁹ Liberia, ¹⁹⁰ Nepal, ¹⁹¹ Niger, India, Kenya
2. C4D function embedded in Programmatic Sections	C4D staff are embedded in sections and report to section chief. In some cases, there is a central C4D coordinator to implement cross-cutting programmes and lead capacity development efforts	Ethiopia, Bangladesh (pre-2012)

¹⁸⁶ UNICEF Somalia, Mozambique, Kenya, India, Ecuador, Char, Bangladesh, Ethiopia, Vietnam, Krygyzstan.

¹⁸⁷ For example, DRC reports at outcome level through a Harvard-led KAP survey (e.g. 71% of respondents declared that they have adopted at least 3 of the 5 targeted EFP (immunisation, exclusive breastfeeding, use of LLINs, hand washing and birth registration)). Turkey reports on how C4D activities have supported empowerment. Bangladesh reports consistently on behaviour change milestones.

¹⁸⁸ The evaluators acknowledge that there may be other variations on these five main types of structures for the C4D function but without a comprehensive global survey across all country offices this cannot be known.

¹⁸⁹ In Nigeria the newly restructured Communications Section incorporates Polio Communications and C4D under one chief.

¹⁹⁰ Liberia's C4D function became a separate unit during the Ebola crisis when its staff and budget increased dramatically. The Liberia CO is now debating how to structure C4D in the next strategic phase – it may return to being a type 1 team under a section called Infocom, as it was before the crisis.

¹⁹¹ In Nepal external communications sits within the C4D team.

Type	Typical management characteristics	Example countries
3. C4D function sits under the External Communications Section	C4D officer(s) and or specialist(s) report to the Chief of External Communications /Advocacy	Turkey, Vietnam, Kyrgyzstan, Fiji, Jordan, Mozambique, Chad, Nicaragua
4. C4D Unit situated within a Programmatic Section	C4D function sits within a section such as Health, reports to that section chief, but services all other sections	Somalia
5. No C4D Unit or Team	No dedicated C4D team or position. C4D work is undertaken by an external consultant with oversight from the deputy representative. Or as is sometimes the case, C4D function is embedded in the job descriptions of the communications specialist ¹⁹²	Ecuador

The evaluation found that across COs the structure of the C4D function at country level is a product of a range of local factors including available resources and the needs of the country programme. For example, UNICEF Bangladesh moved from a central team to a more decentralised model in order to better operationalise C4D in the field while still maintaining C4D expertise centrally. In UNICEF Ethiopia C4D, staff are now embedded within sections from previously having been a stand-alone team, in a bid to create clearer accountability and better ownership for C4D results. The C4D function sits within the Health section in UNICEF Somalia because the majority of C4D takes place through health interventions. The desk review and country case studies revealed a number of strengths and weaknesses associated with each model. COs need to be aware of these to ensure strengths can be built upon and challenges managed. The strengths and challenges of each C4D model are detailed in Table 15 below.

Table 15: Strengths and challenges of the five ways in which C4D function can be structured

Type	Strengths	Challenges
1. C4D under external	<ul style="list-style-type: none"> C4D benefits from general know-how of the larger 	<ul style="list-style-type: none"> C4D loses its distinctive value and connection to programmes and

¹⁹² While this particular arrangement was not found among our sample of 25 country offices, it was indicated to the evaluation team that it is common in LACRO and CEE/CIS.

communications section	<p>communications team and vice versa</p> <ul style="list-style-type: none"> Facilitates joint planning between external communications, advocacy and C4D. Particularly useful in middle-income countries where upstream policy work is prominent 	<p>becomes associated with external communications</p> <ul style="list-style-type: none"> C4D loses its voice at the strategic level within the CO
2. Stand-alone C4D Section / unit	<ul style="list-style-type: none"> C4D is often accountable for behaviour change and other C4D related results, depending on context In some cases, section headed by a Chief (P4 or P5) giving C4D clout and greater leverage over human and financial resources In some cases, possibility of separate fund-raising for C4D activities and greater control of resources (especially when C4D 'owns' its specific intermediate or higher results/outcome) C4D function can be a thought-leader internally and with partners Can help ensure clearer vision and strategy for C4D to be articulated across the CO Monitoring and reporting on C4D is easier 	<ul style="list-style-type: none"> Separate status of C4D Section can cause friction if it is perceived to be pursuing a parallel strand of work insufficiently integrated within other sections C4D Section is still largely dependent on influencing other sections to access resources Often pressure from sections for C4D to prove its value and be worthy of receiving OR funds Separate fund-raising for C4D is often negatively viewed seen as running counter to the spirit of C4D as a cross-cutting strategy Rarely possible to support every section to an equal degree which can cause frustration
3. C4D function embedded in programmatic sections	<ul style="list-style-type: none"> Brings C4D support closer to sections C4D is present across all programmes and is as close to being mainstreamed as possible Sections benefit from tailored C4D advice 	<ul style="list-style-type: none"> Can result in duplication of effort/resources and detract from efforts to promote cross programme working Difficulty ensuring there is an overall vision and strategy for C4D

	<ul style="list-style-type: none"> Stronger accountability and ownership of C4D results by sections 	<ul style="list-style-type: none"> Difficulty mobilising resources for cross-cutting C4D programmes that sit outside of sections C4D staff may lack technical support and not feel championed by the section chief to whom they report
4. C4D Unit situated within a Programmatic Section	<ul style="list-style-type: none"> C4D support is situated where it is most needed 	<ul style="list-style-type: none"> C4D staff overstretch if the C4D function is expected to support both inside its own section and across others C4D staff may lack technical support and not feel championed by the section chief to whom they report C4D becomes associated with one sections and is not able to influence CO-wide plans and priorities
5. No C4D Unit or team	<ul style="list-style-type: none"> Offers the CO flexibility to draw on C4D support on a needs basis Less costly than a permanent team/ staff member 	<ul style="list-style-type: none"> Overall vision and strategy for C4D lacking No constant C4D presence driving C4D integration across the country programme

Ensuring that the voice of C4D is present at the senior level within the CO is important.

Whatever model is adopted for structuring the C4D function, central to integration is that C4D has voice and profile at a senior level. What emerged consistently from the case studies, and to an extent the desk reviews, was the importance of C4D being represented at the negotiating table in a CO, either directly through a C4D lead or indirectly through a senior champion.¹⁹³ C4D needs to be able to engage and negotiate with section chiefs to advocate and mobilise resources. How to facilitate this will vary from country office to country office. In some contexts, this might require a P4/P5 C4D chief, in others a P3 lead. In some COs a representative or deputy representative that is an active and vocal supporter of C4D might be appropriate.

¹⁹³ Desk review informant, India.

6.2.6 Complementarity between C4D and external communications

In looking at the complementarity between C4D and external communications the evaluation focused on the extent to which the two functions engaged in joint planning and the clarity of roles and responsibilities between them in the CO.

The way that C4D and external communication work together is a live debate within UNICEF. The recent 2015 *Global Communication and Public Advocacy Strategy*, for example, has called for much greater synergy between external communication, public advocacy and C4D.¹⁹⁴ While there is recognition that C4D is a programme function, and external communications and public advocacy is about engaging with the general public and policy makers, there is overlap, and the different functions need to work in a joined up and complementary way.

As upstream work expands and direct implementation diminishes, C4D's role becomes less distinct. It is noticeable that in parts of the globe where there are smaller country offices (smaller budgets, staff complement etc.), C4D and external communications tend to get combined. This was observed in Kyrgyzstan and Vietnam, where, in both COs, the C4D function has been or is in the process of being incorporated under External Communications. This appears to be the dominant pattern across most of the countries in the LACRO and CEE/CIS regions (the picture in EAPRO, ROSA and MENARO is more mixed), where there is often only one full-time or part-time C4D staff member reporting to a chief of communications. By contrast, large country programmes tend to have stand-alone C4D teams or sections headed by a C4D chief mainly because they are high disease-burden countries and/or fragile states and/or in emergency situations with many social and behaviour change needs at community level (the dominant pattern in WCARO and ESARO).¹⁹⁵ There seems to be a trend that, over time, as countries transition to middle-income status UNICEF's role in promoting C4D as a means of fostering change and demand at community level becomes less necessary as governments and civil society become more able to address harmful behaviours and social norms without UNICEF's support.¹⁹⁶ Logically, this obviates the need for large C4D capacity within UNICEF and calls for a greater emphasis on high-level advocacy with governments. This is an argument put forward in UNICEF's *Global Communication and Public Advocacy Strategy*,¹⁹⁷ among other documents.

The challenge for C4D is how it can refocus its efforts and continue to add value within a middle-income country context. In UNICEF South Africa, for example, there has been a shift away from community-level work towards advocating with government around C4D and its institutionalisation in national policies and processes, a stronger focus on C4D capacity development at the central, provincial and district levels and a more active role in information

¹⁹⁴ Global Communication and Public Advocacy Strategy, (GCPAS), 2015, UNICEF.

¹⁹⁵ We acknowledge there are exceptions to this rule: for example, Mozambique is a large overall programme but C4D staff are not separate but sit under a general communications section called Communications, Advocacy, Partnerships and Participation (CAPP).

¹⁹⁶ Again, there are obvious exceptions here: for example India and Bangladesh, where large C4D programmes are still clearly needed despite these countries having transitioned to lower middle-income status (source: <https://datahelpdesk.worldbank.org/knowledgebase/articles/906519>).

¹⁹⁷ Global Communication and Public Advocacy Strategy, (GCPAS), 2015, UNICEF.

generation and dissemination around C4D.¹⁹⁸ Successfully navigating these shifts will be central to C4D maintaining its relevance.

There is potential for confusion over the relationships between external communications and C4D but on the whole COs appear to cope with the ambiguities in a pragmatic manner. Where C4D ends and external communications begins is a perennial question, which UNICEF continues to grapple with. The overlap occurs most starkly in the area of advocacy. Take the example of a campaign using high profile influencers such as a country's First Lady to lead a social mobilisation effort around an issue such as maternal health and reducing maternal mortality.¹⁹⁹ In such a case it would be difficult to say whether it is the job of external communications or C4D to lead such an initiative, since on the one hand this is a high-level public relations exercise giving visibility to the national government, and probably also to UNICEF; but on the other hand this is a campaign to change social norms and behaviours around maternal mortality.

While there are obvious ambiguities, evidence from the country studies indicate that country offices have managed them pragmatically, based either on personal relationships or through hierarchy (levels of respective chiefs). In some cases, the CO acknowledges the overlap and combines or divides the responsibilities for the two areas depending on how many and which staff are available for each given task.²⁰⁰ In other cases, there is informal collaboration around specific issues and campaigns as and when needed.²⁰¹

The wide remit of C4D can be problematic and necessitates complementary ways of working. C4D has been framed within UNICEF as a programme strategy that draws on social and behaviour change communication, social mobilisation and advocacy. As such, it has always had a wide remit within the organisation. This is reflected in the C4D Vision paper.²⁰² The challenge is that this creates overlaps with others functions within UNICEF, all the more so in countries where upstream work such as advocacy and policy is a higher overall priority than downstream work such as community engagement. This can cause tensions with other sections feeling that C4D is encroaching on their space. It also creates the impression for some that C4D is all things to all people. The challenge for UNICEF is how it manages this. C4D has a crucial role to play in demand-side interventions and accepted C4D practice is that working at the level of the individual, community and public/policy sphere is key to doing this. But this does not necessarily mean that C4D as a stand-alone section needs to always lead work at each of these levels. Finding ways for C4D to work with functions such as External Communications and/or Public Advocacy in a complementary way is therefore key.

¹⁹⁸ C4D: What's ahead, prepared by C4D HQs for UNICEF-Ohio University Learning Course on C4D, 25 August 2012.

¹⁹⁹ This example is based on an instance from Kenya which was framed as a success for 'C4D advocacy at the highest level' (source UNICEF C4D Facebook page). A contrasting case occurred in Bangladesh where the national cricket team captain made a public service announcement/advertisement (PSA) on stunting which was led by the Communication, Advocacy and Partnerships (CAP) Section rather than C4D Section.

²⁰⁰ For example, in Nigeria, C4D staff in regional offices will sometimes deal with local media because the Media and External Relations (MER) Section do not have staff in all field offices; but where they do, MER will sometimes help develop messages for local communities, thereby taking on what is usually viewed as a C4D function.

²⁰¹ For example, in UNICEF Ethiopia, C4D sit on the core task force of a girls empowerment campaign which is focused on changing social norms and there is also close collaboration around FGM and polio.

²⁰² *Communication for Development Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014–17*, (draft 28 June 2014) UNICEF HQ.

6.3 Integration of C4D at the regional level

At the regional level, the evaluation has looked at C4D integration in terms of three criteria: the existence of regional C4D strategies; the integration of C4D into regional planning and reporting; and the staffing arrangements for C4D at regional levels (and how these have changed over time).

The regional C4D advisors and focal points aim to support their respective country offices through technical assistance, programme oversight and quality assurance as well as establishing regional partnerships and networks and providing a platform for knowledge management to promote exchange of good practice across countries.

In terms of financial resources, the money allocated at regional level is only for salaries, capacity-building events hosted at a regional level, travel and consultants²⁰³ to support COs. Usually this comes from 'Regular Resources' with some – in the case of Ebola in WCARO in 2014 – coming from 'Other Resources for Emergencies'. In some cases, special funds can be found for regional C4D activities – for example, European Union funding of \$2m has recently been available for a multi-country C4D initiative on violence against children in CEE/CIS.

Only WCARO and ESARO have to date articulated clear C4D regional strategies. Across the seven ROs WCARO and ESARO are the only two ROs that have produced C4D strategies.²⁰⁴ WCARO has also developed a 3-year internal capacity development plan.²⁰⁵ Since programmes priorities for C4D are set at the country level, these strategy documents only offer guidance, lessons learnt and good practices rather than formal instructions to COs, but even so, they provide an important framework in which C4D staff in-country can think about their own country level work. Moreover, it helps create some focus to how and where the RO wants to support COs in C4D. Interestingly, in the WCARO document, there is a suggestion to have a regional advisory steering group chaired by the deputy regional director that would oversee the operationalisation of the framework. It will be interesting to see whether this is actually set up. It should be noted that EAPRO recently undertook a multi-sectoral scoping assessment to provide a detailed understanding of the current C4D programmes in the region and common capacity development needs and a key recommendation from this was the need to develop a regional C4D strategic framework.²⁰⁶

Although C4D staffing numbers at the regional level have improved since 2010, progress has been slow and there remain three ROs where no full-time staff are in place to lead C4D in their regions. The extent to which a RO is able to deliver on its C4D accountabilities is highly dependent on whether there is a regional C4D advisor. It is an important indicator for how well integrated C4D is in the RO. There has been progress in this area, albeit slow, and there

²⁰³ Generally if COs request the regional offices to identify consultants for a discrete piece of C4D work in-country, it is paid for by that particular CO.

²⁰⁴ ESAR C4D Regional Strategic Framework 2015–17, February 2015; and WCAR C4D Strategic Framework Agenda for Action, 2016–21, December 2015.

²⁰⁵ HQ Key informant 4.

²⁰⁶ UNICEF EAPRO (2015) Communication for Development in East Asia and the Pacific: assessment of initiatives and needs in child survival and humanitarian approaches, Vol II, Dec, UNICEF EAPRO.

remains scope for further improvement. Whereas in 2012 there was only one regional advisor in WCARO, there are now an additional three posts in ESARO, MENARO²⁰⁷ and ROSA who are all P5 positions. EAPRO, LACRO and CEE/CIS do not yet have P5 regional advisor posts, however, they will in due course through the ‘Strengthening C4D Initiative’.²⁰⁸ In some ROs, C4D capacity is bolstered by staff working on C4D within particular sections. While these roles provide additional (and oftentimes much needed) C4D capacity at the RO level, they are not substitutes for having an overall C4D advisor that has a cross-sector perspective. Table 16 below presents a summary of current RO staffing levels, as of January 2016).

Interestingly, an official request is currently being considered by HQ for more C4D staff capacity in several of the regional offices (particularly those without a regional advisor), both for permanent posts and for capacity to deal with short-term issues such as surge capacity on C4D is needed concerning the Zika virus in LACRO.²⁰⁹

Table 16: UNICEF Regional staffing arrangements on C4D as of January 2016

Regional Office	Full-time dedicated C4D post or Part-time coverage of C4D	Other C4D posts in regional office
LACRO	Regional communications specialist is also C4D focal point for region	No
EAPRO	Chief of communication and Advocacy covers C4D on part-time basis	Four other advisors working part-time on C4D from within Health, Nutrition, WASH and Emergencies
CEE/CIS	Communication specialist (P3) covers C4D on part-time basis	No
ESARO	Full-time regional senior C4D specialist (P5)	Two P4 staff working on C4D in polio eradication and routine immunisation. Two C4D posts on Emergencies and Child Protection in pipeline
MENARO	Full-time regional C4D advisor (P5)	One C4D consultant working in polio

²⁰⁷ The MENARO post was upgraded in line with the Stengthening C4D in UNICEF initiative drafted in 2015 (Ref. UNICEF, Strengthening C4D in UNICEF Enhanced Results for Children, 2015–17: Institutional Investment Options, v.28 July 2015).

²⁰⁸ Ibid.

²⁰⁹ HQ key informant 2

WCARO	Full-time regional C4D advisor (P5)	Two P4 posts exist – one of which is unfilled. A further P3 on C4D in Emergencies is a possibility
ROSA	Full-time regional C4D advisor (P5)	No

The extent to which C4D is integrated into RO planning is mixed. From a review of the Regional Office Management Plans that the evaluators had access to, it appears that C4D is effectively integrated into the planning in WCARO, ESARO and LACRO, while to a lesser extent MENARO, ROSA, CEE/CIS, EAPRO. Across those ROs where C4D has a strong presence, a set of priority management performance indicators have been set that are tracking core C4D accountability and responsibilities. In WCARO, for example, there is tracking of the number of countries in the WCARO region with evidence-based plans for C4D are monitored and tracked, the number of countries with qualified trainers in participatory communication approaches, and percentage of countries with evidence-based and measurable C4D plans (stand-alone or part of a sectoral plan).²¹⁰ And in ESARO the RO tracks the number of countries that apply C4D strategies/approaches across at least 50% of outcome areas in the country programme.

The quality of RO's C4D reporting dropped between 2010 and 2015 (with some exceptions). Regional offices' planning and reporting on C4D has changed markedly since 2010 with a lessening of visibility of C4D activities in narrative reports over the years from 2010 to 2015. A review of each regional office's reports (Regional Analysis Reports) from 2010 to 2015 shows a reduction in the prominence of C4D reporting. The levels of reporting dropped considerably from 2014 when the need to report on C4D was no longer mandatory. WCARO and ESARO are the two exceptions. Both have maintained consistent and high quality reporting over the period of the evaluation

Overall, C4D is not yet consistently mainstreamed or adequately supported across UNICEF's regional offices. Regional offices play an important role in supporting COs, particularly the smaller ones, in integrating C4D into programming. There has been recent expansion of C4D staffing at the regional level and some ROs have started to develop regional strategies, however, practice remains piecemeal (see above). WCARO and ESARO stand out as ROs that have invested in integrating C4D at the regional level, and could offer support and guidance to other ROs strengthening their C4D capacity. Looking ahead, ensuring adequate capacity at the regional level is an important area for UNICEF to consider, not least because of the current discussions around greater regionalisation of C4D capacity development.

6.4 Integration of C4D at the HQ level

In order to judge the level of integration of C4D at the NYHQ level the evaluation has focused on three criteria: the integration of C4D in the 2014–17 Strategic Plan and how this compares

²¹⁰ ROAR 2015.

with the 2008–13 MTSP; staffing arrangements and funding for C4D at HQ over the 2010–15 period; and the integration of C4D into core organisational processes.

At HQ level, the responsibility of the C4D Section is to support UNICEF HQ, regional and country offices to advocate for and mobilise resources for C4D; to provide strategic guidance, resources tools etc. to UNICEF HQ, regional and country offices in order to apply C4D principles and practice; and to lead global training and learning opportunities.

While C4D is well integrated into the 2014–17 Strategic Plan its positioning under the ‘Capacity Development’ and ‘Service Delivery’ implementation strategies has resulted in less profile in reporting on C4D across the organisation. This is a change from C4D’s status in the 2006–13 MTSP in which C4D was a stand-alone core implementation strategy.²¹¹ This change is not the desired positioning as far as the C4D Section at HQ is concerned.²¹² However, C4D-related dimensions are well integrated within all sectoral outcome areas. All sectors include social and behaviour-related indicators and outputs, some of which are communication specific. This is especially true of sanitation, PMTCT,²¹³ maternal and child health and nutrition (among others). Furthermore, theories of change across all sector outcomes indicate the importance of C4D in addressing social and behavioural dimensions.

However, the implication of the change in the way C4D is articulated in UNICEF’s Strategic Plan has meant changes in how C4D is treated within operating guidelines and a lack of visibility which has had knock-on effects for planning, reporting and monitoring of C4D, and thus in institutionalising it. Capacity development is one of several ‘implementation strategies’ all of which are voluntary. So reporting against capacity development is not mandatory which implies that reporting on C4D is even less so.²¹⁴ Also, strategic monitoring questions that HQ send out for country offices to respond to, do not capture C4D outputs clearly and consistently because, C4D indicators have not been formulated for most sectors.²¹⁵

Efforts to integrate C4D into HQ key procedures such as MORES²¹⁶ have been a success, however there is limited evidence to suggest that this has significantly impacted C4D integration. The key processes and procedures that the C4D Unit targeted for integrating C4D into were:

- The Programme Policy and Procedure Manual (PPPM)
- The Monitoring Results for Equity System (MORES) and associated guidance
- Situational Analysis Guidance

²¹¹ According to the Sylvio Waisbord’s StockTake (2014), in the MTSP 2006–13 C4D was identified as a crucial cross-cutting strategy to achieve key results across all of UNICEF’s sectoral areas. It was also noted that nearly 38 out of the 52 Key Results Areas were strongly dependent on social and behaviour change.

²¹² HQ key informant 2.

²¹³ Prevention of Mother to Child Transmission of HIV.

²¹⁴ HQ key informant 8.

²¹⁵ i.e. only in Health and HIV/AIDS but not in Nutrition, WASH, Education, Child Protection or Social Inclusion.

²¹⁶ Monitoring Results for Equity System (MoRES) is defined by UNICEF as a conceptual framework for effective planning, programming, implementation, monitoring and managing for results to achieve desired outcomes for the most disadvantaged children (Source: UNICEF, Formative Evaluation of UNICEF’s Monitoring Results for Equity System (MoRES), August 2014.)

Each of these documents relate to key steps in the UNICEF planning process. MORES in particular was viewed as an important process to influence, given its focus on bottleneck analysis and understanding the barriers and opportunities for UNICEF to achieve results. The C4D Section was a driving force behind the inclusion of behaviour change determinants on the demand-side of MORES, and social norms under the enabling environment.²¹⁷ However, at country level, views on how important this is to C4D integration were mixed. For some, the systematic analysis of bottlenecks during planning has proved useful in thinking through the role of C4D and identifying specific opportunities where C4D strategies can best be deployed.²¹⁸ For others, MORES was useful, but not really as a way of integrating C4D.²¹⁹ In most cases, the view was that on paper MORES should be able to help with C4D, but in practice it is not. This is because MORES as an approach is not being effectively or consistently applied at the country level.²²⁰ As a result, the bottleneck analysis that should help reveal opportunities for C4D is either not happening, or not being conducted in a sufficiently robust way.²²¹

There are strains on human and financial resources in the NYHQ C4D Section. Staffing levels in the NYHQ C4D Section level saw a growth from one staff member in 2006 to five core staff²²² in 2012, which was the year C4D Unit transitioned back from Division of Policy and Research to Programme Division. Subsequently, the C4D Section counted eight staff in 2014 and is now down to six posts today, including two P5 posts and two P4s.

The move from Policy to Programmes Division was an effort to bring C4D closer to operations, along with other cross-cutting issues. The focus of the C4D Section thus shifted from an emphasis on capacity development, programme guidance, and development of standards to a greater focus on field engagement, technical support, quality assurance, engagement with external partners on field focused initiatives, and increased engagement with emergency response.

At the same time as this shift happened from Policy to Programmes Division, there was an Executive Director decision to make the C4D function at HQ a section rather than a unit which was seen as a positive promotion in terms of giving C4D equal status with other programmatic sections. However, the change was also challenging because the C4D Section remained with a comparatively small team and limited budget, yet is expected to respond to calls for advice and support from seven results areas, all of which have significantly larger teams at the HQ level than C4D (see finding below).

Needless to say, staff overstretch in the C4D Section is mirrored by funding constraints, and although ideally, there would be one C4D staff member assigned to each of the seven results areas, realistically there is insufficient budget for this. C4D Section receives an annual funding

²¹⁷ HQ key informant 6.

²¹⁸ Desk Review – Ecuador.

²¹⁹ Desk Review – Kenya.

²²⁰ See: UNICEF, Formative Evaluation of UNICEF's Monitoring Results for Equity System (MoRES), August 2014, UNICEF New York.

²²¹ Desk Review – Liberia; Desk Review – Fiji; Desk Review, Jordan; Ethiopia case study.

²²² Over the years all other posts have been temporary such as TAs and consultants.

allocation at HQ level – roughly US\$200,000 each year.²²³ As already noted, it also benefitted from a substantial capacity development allocation of \$1.5 million in 2010, and additional \$150,000 approximately in 2013.

Between 2012 and 2013 the C4D Section operated essentially with the HQ allocation plus some remaining funds from the \$1.5 million institutional funding for capacity development activities. Since 2014 onwards it has tried to mobilise external resources and leverage internal funds. Over the past 2 years the C4D Section's budget has been around \$1–1.2million per year. Additional funds have been mobilised to support thematic work.²²⁴ There have been also cost-sharing for certain activities with other sections (i.e. Child Protection).²²⁵ Most recently there has been an announcement of further significant investment for C4D for the Strengthening C4D Initiative aimed at further building capacity and integrating C4D strategies in programming. Mainstreaming C4D in resource mobilisation efforts and maintaining an adequate level of funding for core capacities will contribute to a more sustained and predictable level of engagement to support programmatic work at field level. This year, for instance, C4D Section have helped mobilise US\$4 million from USAID to support the Zika response, plus another \$0.5 million to support child marriage work.

C4D seems to be better resources in other sections, particularly health. While the C4D Section at HQ is comparatively small there are C4D staff within other teams at HQ particularly in the Health section (it has 100 staff in NYHQ), but also focal points within WASH, Child Protection and others. Health has dedicated C4D polio and immunisation staff on separate sub-teams. A look at the polio eradication programme team presents a strong C4D picture: the HQ polio C4D team is larger than the C4D Section at HQ and at country level 100 staff members across the organisation work in polio C4D which has been estimated as 33% of UNICEF's total C4D global capacity.²²⁶ The polio teams, both at HQ and across the organisation, have historically been well funded (almost certainly better than the C4D Section, although the evaluators did not have access to the full figures) and has a reporting-line directly up to the Executive Director. The HQ polio team do not work through or with the C4D Section at HQ on a day-to-day basis, but rather cooperate on policy and materials production as and when is needed.²²⁷ The challenge for UNICEF is how it can learn from the notable successes that it has achieved through C4D in polio and immunisation and apply these to other sectors.

²²³ Figures for the 2014–15 biennium.

²²⁴ Donors such as DFID, USAID and the Dutch Government have funded discrete themes such as C4D in humanitarian activities, child health and peace-building, education and health activities.

²²⁵ HQ key informant 2.

²²⁶ Source: 'C4D 2.0' a draft internal document produced by communications personnel in the Polio eradication team, UNICEF HQ, dated May 2015.

²²⁷ HQ key informant 9.

7 Implementation of C4D at the field level

KEY FINDINGS

- There is a wide range of C4D initiatives that are being supported by UNICEF. Among these, there are a number that are having a tangible impact on behaviour and social norms. These represent important success stories that demonstrate the value that C4D can add to programming. The evaluation also identified a number of lessons on how best to implement C4D at country level. While UNICEF already knows many of these, it does not always put them into practice. Some of the most important include: C4D in UNICEF works best when implemented as a component of development or humanitarian programmes, not as a stand-alone project; and that C4D interventions need to be grounded in and informed by a detailed understanding of the social norms and cultural practices of the context. The latter lessons came out strongly from the recent Ebola response in West Africa.
- Overall, country offices show an average performance across the benchmarks, with few countries being outstanding and none doing very badly. This indicates that the quality of C4D implementation is sound, but with room for improvement. The COs in the sample that performed best across all benchmarks were UNICEF Mozambique, Nigeria, India and Bangladesh. COs are actively establishing and facilitating multi-stakeholder working groups and task forces that lead planning and coordination on C4D (Benchmark 1). This was the highest performing benchmark. Performance was worst in relation to documenting and sharing lesson learnt from C4D implementation (Benchmark 5). COs use of evidence to inform C4D plans and strategies (Benchmark 2), and its consultation with communities (Benchmark 3) are largely good, however practice is variable; in very few COs it is systematic.
- Many UNICEF country offices are providing support to government and NGO partners to build their C4D capacity; however, the demand for support is high, and many COs are struggling to meet it with much more than ad hoc training and workshops. Those that have been most successful in strengthening partner capacity have built long-term partnerships with universities and training providers and have underpinned this with a long-term vision and plan for partner capacity development. Encouragingly, there is anecdotal evidence to suggest, that in countries such as Bangladesh, Nigeria and India where such a long-term strategic investment has taken place, there have been tangible impacts on government capacity.

7.1 Introduction

The following section presents the findings on implementation of C4D at the country level through country programmes of cooperation. Although the evaluation was unable to look in depth at how C4D is being implemented on the ground, other than brief field trips in each of the country studies, it was able to gather some experiences and learning of how C4D is being applied at country level. Implementation has been looked at from three different angles. (1) The evaluation looked at implementation from the perspective of CO performance against a set of global C4D benchmarks. These were applied across the 25 desk review and country studies. The benchmarks are viewed as proxies for implementation quality by UNICEF. (2) A series of lessons were distilled from across the country case studies and document reviews about how best to implement C4D initiatives and supplemented this with a selection of outstanding C4D successes and challenges from Ethiopia, Bangladesh and Nigeria (three countries that have

invested heavily in C4D). (3) A set of lessons on building partner C4D capacity from the five country case studies have been distilled. By taking these three different views of implementation the evaluation has been able to build up a rough picture of what UNICEF is accomplishing on C4D and the lessons it is learning.

The section is structured in three parts: First, UNICEF's performance against the C4D benchmarks (7.2); then, the lessons from implementing C4D approaches (7.3); and finally, the lessons that have been learnt from delivering capacity development to partners (7.4).

7.2 Performance against the global C4D benchmarks

The global C4D benchmarks are a voluntary tool developed by HQ for country offices to use to monitor and report on the quality of C4D implementation. The benchmarks were used across the 25 desk review and country case studies as a proxy for implementation quality. The assumption is that the higher the scores that COs achieve across the five benchmarks, the higher the chances of quality implementation on the ground.²²⁸

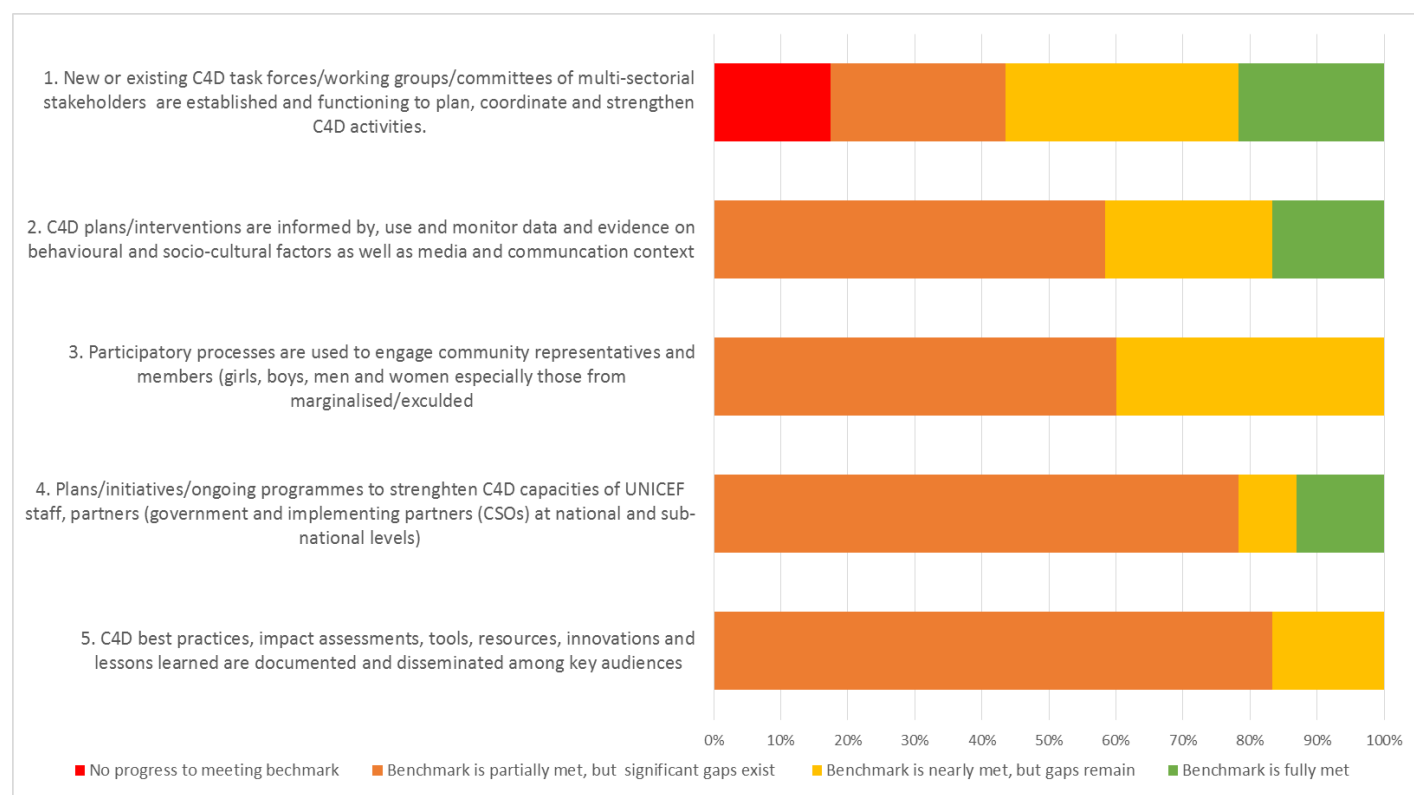
Each of the benchmarks was scored on a four-point scale, from red (no evidence to suggest the benchmark is being met) through amber and yellow to green (high level of evidence that the benchmark is being met). To help guide the assessment, specific criteria were developed for each benchmark which contextualised the scale to the issue being measured. The detailed scales that were used can be found in Annex 10. It is important to note that this was primarily a desk review exercise; in 20 countries the evaluation was reliant on documentary evidence from COs, a limited number of follow-up interviews and the desk review survey. Only in the five country case studies was it possible to verify the documentary data.

Figure 14 below lists the five benchmarks, and shows the distribution of scores from the desk review and case study countries across each. Because of data availability across the sample, it was not possible to assess all COs against all benchmarks. As such, the sample size varies between benchmarks.²²⁹

²²⁸ While the original intention was to use the evaluation to pilot and refine the benchmarks, the benchmarks have in fact been superseded with Standard Cross-Cutting results indicators for C4D, which have been developed in consultation with C4D field colleagues. The Cross-Cutting indicators will be provided to country offices within a web-based platform alongside sets of standard Sector programme indicators.

²²⁹ The sample size for our assessment against each benchmark is as follows: benchmark 1, 23 COs; benchmark 2, 24 COs; benchmark 3, 19 COs; benchmark 4, 23 COs; benchmark 5, 18 COs.

Figure 14: COs performance against the five global C4D benchmarks (n varies between 19 and 24)



Overall, country offices show an average performance across the benchmarks, with few countries being outstanding and none doing very badly. The COs in the sample that performed best across all benchmarks were Mozambique, Nigeria, India and Bangladesh. The fact that all have significant C4D programmes of work and relatively high C4D capacity in comparison to many other country offices, is likely an explanation for this.

Benchmark 1 – The majority of COs are active in establishing and facilitating a wide range of multi-stakeholder working groups and task forces that lead planning and coordination on C4D. This was the highest performing benchmark from across the five. The focus of Benchmark 1 is on the extent to which UNICEF is actively convening and supporting multi-sectoral groups at national and subnational levels, to discuss, guide and implement C4D activities. The groups could be C4D specific, e.g. the communicating with communities working group in Bangladesh, or relate to a wider thematic issue, but have C4D as a key recurrent issue e.g. the National Alliance for Ending Child Marriage task force in Ethiopia.

Across the five, COs tended to perform best against this benchmark (see Figure 13).²³⁰ This could be a reflection of the fact that convening is a core competency of UNICEF. Its ability to

²³⁰ We found the benchmark to have been either 'nearly' (yellow) or 'fully' (green) met in 13 out of 23 COs.

move between the worlds of government and NGOs, positions UNICEF well to convene multi-stakeholder groups.

One should note, however, that this is also the benchmark with the most differentiated scores; it is the only benchmark for example, where any CO reported 'no progress to meeting the benchmark'. This may suggest that there are other important contextual factors that shape whether UNICEF is able to play this convening role.

Benchmark 2 – Across all countries there was evidence of COs using evidence to inform C4D plans and strategies; however practice is variable and in very few COs was it systematic. Benchmark 2 assesses how effectively a CO uses evidence on behaviour-related and communications/media-related issues in the design of new programmes. Grounding communication strategies in research and evidence is central to UNICEF's understanding of what good C4D is. As illustrated by Figure 13, the picture is somewhat mixed for this benchmark. On the one hand, there is self-reported data from across all the COs²³¹ of evidence being used to inform C4D plans and strategies, which is positive; however, on the other, in only a handful of countries (Bangladesh, India and Mozambique) was there an indication that the research/data is being used systematically in the design and implementation of C4D programmes.

The two main barriers to embedding evidence use in C4D plans and strategies that emerged from our country studies were inadequate time and budget. Testing communication materials through research is often considered a luxury and one that has not been factored into work plans or been budgeted for. Yet, even in very time constrained settings, examples were found of rapid research (e.g. conducting a couple of focus groups around communication material) being undertaken that still added significant value.²³²

A specific area of UNICEF's work where evidence use in developing communication strategies is strong is in polio. This was an area of work that was not looked at in detail in this evaluation because of the scale and scope of polio activities in UNICEF. However, it was clear from both our country trips to UNICEF Nigeria and Ethiopia (both of which have large polio programmes) that developing and refining communications based on evidence is well embedded in polio.

Benchmark 3 – Participatory processes are being used to engage communities across all COs reviewed, but similar to the use of evidence, it is not systematic. Benchmark 3 relates to how well COs are using participatory processes to engage with and listen to communities. As with evidence generation, participation is a core principle in UNICEF's understanding of C4D. Across all of the COs reviewed, there was evidence of at least some progress being made to meet this benchmark (see Figure 13). In the majority of cases (12 out of 20 COs), progress is being made, but significant gaps remain, while in all other cases the benchmark was judged to have been 'nearly' being met, but more work was needed.

²³¹ The self-reported data is triangulated with document review and interview data in the five country case studies.

²³² Ethiopia case study; Krzgyzstan case study.

This benchmark relies much more on the quality of the work of implementing partners than that of UNICEF,²³³ so where partner capacity is low or where ‘top-down’ communication methods are entrenched in governmental working methods and local culture (for example, countries formerly influenced by or in the Soviet bloc) the score on participation tends to be correspondingly low, even if there is a concerted effort on the part of UNICEF to promote participation.²³⁴ Other obstacles to putting participation into practice that emerged from the country case studies were again, time and budget considerations.

Benchmark 4 – While there is a wide range of activities being undertaken across the COs to build the C4D capacity of staff and partners, rarely are they part of a coherent programme of support and underpinned by formal plans. Benchmark 4 relates to how active COs are in building capacity internally and externally around C4D. As has been discussed in detail in earlier sections of the report, strengthening internal capacity has been a key objective of UNICEF over the past 5 years. Likewise, partner capacity is crucial to the quality of C4D implementation. Three COs were considered to have fully met the benchmark (Nigeria, India and Kenya) and two were judged by the evaluation team to have ‘nearly’ met the benchmark. The vast majority (18 out of 24) were rated as only having partially met the benchmark (see Figure 13).

The picture that emerged across COs is of various C4D activities being undertaken to build the capacity of staff and partner C4D capacity, but these often being stand-alone exercises. They are rarely part of a wider programme of support, or underpinned by any clear plan for where the CO should focus its efforts and why. The problem with this approach is that activities such as one-off trainings are of limited value in building capacity without any sort of follow-up; they raise expectations, and, unless linked to further support, breed frustration. Resources are of course a consistent challenge. The three top performers for example are all country programmes with substantial budgets and C4D teams. Yet, if capacity support at the CO level is to be effective it needs to be linked to a wider programme of support.

All of the COs reviewed are capturing lessons and experiences of implementing C4D through a wide range of channels such case studies, toolkits, evaluations etc. but very few are actively disseminating these with partners. Benchmark 5 is focused on whether, given their wealth of experience in designing and implementing C4D initiatives, COs are documenting these lessons in toolkits, case studies, evaluations etc. and actively sharing these to improve C4D practice more widely. All the COs reviewed either ‘partially’ or ‘nearly’ meet this benchmark (see Figure 13). Across the COs it was found that while all have documented innovations, best practices and locally contextualised tools and or guides to some extent, none are disseminating these widely and systematically. This is not to say dissemination does not happen – there are examples for the country studies of launch events and meetings where toolkits or evaluations are discussed, but very rarely was there a communications plan for the outputs or a communications strategy for C4D more widely. The lack of access to UNICEF’s learning was noted by a number of partners across the country studies as a source of frustration, along with UNICEF’s perceived unwillingness to learn from civil society organisations (CSO) in

²³³ UNICEF does not implement directly for the most part. It’s primarily through its implementing partners.

²³⁴ This benchmark was also the one with the highest number of countries for which data was not available (6 out of 25)

exchange.²³⁵ Given UNICEF is often the main player in C4D in-country, it is viewed as having a wealth of experience to share.

7.3 Lessons from implementing C4D approaches

Based on the five country case studies and the evaluation team's review of the wider UNICEF literature on C4D, a number of core lessons were distilled on how best to implement C4D approaches.

C4D in UNICEF works best when implemented as a component of development or humanitarian programmes, not as a stand-alone project. Although it will be obvious to many, one of the key lessons that emerged during this evaluation is that C4D is not and should not be a stand-alone programme. While it is completely understandable, and probably necessary, to argue for a higher profile for C4D, it is important to recall that C4D should not stand alone. C4D is, and should be, as per UNICEF's official definition: 'a process' to 'promote change' that is 'an *integral part* of development programmes and humanitarian work'.²³⁶ C4D activities are not meant to be done outside Sectoral programmes so when they are, they can cause problems. For example, C4D campaigns which are not joined up with wider services being provided within a programme, can create demand by communities for services that do not exist or are in short supply.²³⁷ C4D Sections which become relatively large appear, in some cases, to be lobbying to fund-raise for their 'own' programmes. This was observed, for example, in Nigeria. But experience and the literature, within UNICEF and externally, have shown that there are very few human behaviours or practices that can be changed through C4D efforts alone. Behaviours such as non-exclusive breastfeeding, child marriage, FGM/C or smoking need other things to change in parallel such as laws and/or wider social movements and economic changes. It is for these theoretical and practical reasons that UNICEF has learnt not to encourage stand-alone C4D activities.

There are some limited exceptions to this lesson, however. These include stand-alone components managed by C4D Section that pertain to partner capacity development (e.g. in Nigeria and India) or cross-cutting programmes where priority behaviours pertain to all sectors but which are 'owned' by C4D e.g. a TV series (India, Mozambique, etc.) or cross-sectoral community engagement (e.g. Bangladesh). These are interventions which are either not embedded within a technical section or which cut across several technical sectors. The key challenge is to keep these interventions closely linked to sectors.

Prior detailed understanding of social norms and cultural practices is crucial before any C4D intervention can start. This lesson is one that emerged strongly from the recent Ebola experience in West Africa (but is applicable across many scenarios, not just emergencies). It was found, for example, that communications will not work without an anthropological understanding of religious and cultural practices such as burial rites, and without engaging

²³⁵ Ethiopia case study; Bangladesh case study.

²³⁶ Communication for Development: Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014–17 (our emphasis).

²³⁷ This sort of issue has arisen in Bangladesh regarding the 'Engaging Communities' programmes which appears to some within the Bangladesh CO to be a parallel strand of work, promoting change on key household behaviours but, at times and in some areas, insufficiently connected with the rest of UNICEF's programme on the ground (see Bangladesh case-study for more details).

people in dialogues to address deep-seated traditional practices, as well as addressing rumours. This was also discussed in UNICEF Nigeria, in the context of successful efforts there to ensure Ebola did not spread in the Lagos area in 2014. As noted by the WCARO RO: 'the Ebola response ... obliged all the partners engaged in interrupting the Ebola virus transmission to take note of the beliefs, social norms, cultural and traditional practices of people involved ... [There is a need to] employ social and anthropological data to complement studies by epidemiologists/other social scientists to guide C4D intervention planning within rapidly changing circumstances of an outbreak or emergency.'²³⁸ Interestingly, these are lessons that are already very ingrained in how C4D is promoted and taught within UNICEF. The challenge with Ebola in West Africa was that there was no real C4D capacity in the CO when Ebola struck. Once the right expertise was brought in these lessons were put into practice.

Face-to-face communication is often the best way to change behaviours but it is challenging to take to scale without system strengthening with government partners.

Experience in C4D tends to show success with community dialogues and non-formal education programmes that involve people more actively than with mass-media interventions.²³⁹ Such community engagement requires intensive work on the ground. Going to scale with any individual behaviour/social change programme that requires face-to-face communications over a sustained period of time is problematic unless working with governments and NGO partners that have the on-the-ground capacity to deliver country-wide. This is a lesson that UNICEF is grappling with in Bangladesh where the evaluators observed some notable successes with the key household practices programme 'Engaging Communities,' yet it is not clear how to take it to scale beyond just the seven focus districts it is currently in.²⁴⁰ One of the questions associated with the Bangladesh programme is whether the government has the capacity to take on this level of intensive action and roll it out nationally. It is interesting to compare UNICEF Bangladesh with UNICEF India where there have been great efforts and successes in training C4D workers within government line-ministries and NGOs,²⁴¹ starting with master trainers and cascading down to create a large cadre of frontline C4D government workers. This kind of capacity building and systems strengthening, as seen in India, is a model for other country offices worldwide.

Knowledge is easier and quicker to change than practice and tackling physical, policy and economic barriers as well as longer-term social norms approaches are probably the best ways to tackle harmful behaviours. This lesson was one that came out of the avian influenza and SARS experiences in the mid-2000s,²⁴² but is also one that was discussed on several occasions during our country case study interviews. In summary, communication interventions should go beyond information transmission given that the lack of knowledge is not the only or even the

²³⁸ WCARO C4D Agenda for Action, January 2016 pp. 3 and 30.

²³⁹ See for example, *Changing Discriminatory Gender Norms affecting Adolescent Girls through Communication Activities: A Review of the Evidence*, R. Marcus and E. Page, 2013, ODI: London. In this systematic review the authors found that 'the gap between the proportion of positive changes in attitudes and that of changes in practice recorded was greater for media-based interventions than for other communications approaches [such as] community dialogue and non-formal education programmes' (p. 11).

²⁴⁰ See Bangladesh case study report.

²⁴¹ See 'Small Steps to Big Changes', 2013 UNICEF India <https://www.youtube.com/watch?v=tQaDKtJdS-o>

²⁴² See: Social Mobilization and Behaviour Change Communication for Pandemic Influenza Response: Planning Guidance, AED, September 2009.

main, obstacle to performing desired practices. Communication should be integrated with initiatives that reduce obstacles to practising healthy behaviours. Often, recommended behaviours are not feasible – even if an individual is motivated. Wider practice of recommended behaviours is often enhanced by changing policy, physical, and economic barriers (for example through advocating for government transparency during an epidemic outbreak) rather than focusing communication on individual attitude and knowledge.²⁴³ This has invariably got to go hand in hand with a process of fostering societal and community-level discussion and informed debate where incremental steps are taken towards gradual change.²⁴⁴

Several implementation and organisational lessons have been learnt from the polio eradication programme. As explained elsewhere in this report, C4D activities and polio communications are complementary and are often combined at country level. For example, in Nigeria, the two teams have recently become one, under a communications chief, in order to enhance mutual learning and to pool skills, while the technical aspects of polio (i.e. the vaccination teams) remain under the Health section. Key lessons for C4D from the long UNICEF experience with polio communications include:

- The advantages of close and constant monitoring and evaluation and ‘telling the positive story,’ particularly for fund-raising – this is something polio communications has done particularly well.
- The need for a roster of technical communications specialists to act fast in the case of an emergency (i.e. Ebola was like a polio outbreak in that it required a rapid deployment of skilled C4D personnel on the ground).
- The need for a ‘boot camp’ course to teach practical managerial skills related to communications in emergencies (this course was set up together, by polio Communications and C4D Section in HQ. New York University is now providing this course for UNICEF).
- On the ground, the need for sustained engagement of traditional and religious leaders; high importance of well-trained frontline workers who are motivated to reach all children with creative mobilisation techniques; high and detailed levels of understanding among all team members of social norms (e.g. reasons for vaccine refusal) and of each individual socio/economic/cultural context where there is an actual or potential outbreak.

Various C4D successes and challenges were identified during the field work for this study. Table 17 presents a selection from the high C4D investment countries the team visited: Ethiopia, Bangladesh and Nigeria. While this list is not intended to be exhaustive, it summarises some of what stood out for the evaluation team. Although the evaluators did not delve deeply into this – this is not an impact study – it gives a glimpse of the positive effects that C4D can generate, as well as the reasons for why it sometimes fails.

²⁴³ Ibid.

²⁴⁴ Two examples of this are UNICEF Ethiopia’s approach to tackling FGMC through religious leaders at a local level (see Ethiopia country report) and UNICEF Nigeria’s approach to youth mobilisation around WASH and community-led total sanitation (see Nigeria country report).

Table 17: Key successes and challenges in C4D implementation in Ethiopia, Nigeria and Bangladesh

Successes	Challenges
<ul style="list-style-type: none"> • WASH: Open defecation-free communities – Ethiopia. C4D strategies such as ‘triggering’ communities to become aware of, accept and build latrines have helped UNICEF Ethiopia’s partners achieve big gains such as 24% of <i>woredas</i> in Oromia Region achieving open defecation-free status between 2011 and 2015 compared to regional average of 16%.²⁴⁵ • Ending Child Marriage – Ethiopia. Child Protection and C4D staff in UNICEF have been working intensively on community communication with the Federal Government’s Health Extension Workers, Women’s Development Armies and girls’ clubs to reduce child marriage. Research shows that awareness of the law is increasing and progress towards eliminating child marriage appears to be accelerating considerably.²⁴⁶ • Health: Polio communications – Nigeria. As from September 2015 polio is no longer endemic: polio communications has been the big C4D success story as it has prompted communities to accept rather than reject polio vaccination in large numbers partly through an ‘army’ of over 17,000 Volunteer Community Mobilizers supported by UNICEF. • Health/Emergencies Ebola – Nigeria: through concerted efforts to raise awareness by using volunteers to go house to house in Lagos and surrounding areas, the C4D team is credited 	<ul style="list-style-type: none"> • Avian Influenza H1N1 – Bangladesh (and neighbouring countries) – Following the 2008 outbreak of avian influenza an independent study of UNICEF’s (and other agencies’) C4D interventions found a considerable knowledge-practice gap. Few behavioural changes were found after communication interventions, even when knowledge about prevention and transmission increased.²⁵⁰ • WASH Sanitation, Hygiene Education and Water Supply Project (SHEWA-B) – Bangladesh in this project C4D interventions required intensive, regular face-to-face contact but had mixed success due, in part, to shortages of Community Health Promoters at village level – only 29% of study participants reported they had met or received a visit from the CHP in the 2 months prior to the survey.²⁵¹ • Emergency response – North-East Nigeria: the current emergency presents communications challenges common to almost all humanitarian situations, namely that urgent communication with and for disaster-affected communities is required but

²⁴⁵ Ethiopia case study.

²⁴⁶ Research brief ‘Surprising trends in child marriage in Ethiopia’ UNICEF and ODI, March 2016.

²⁵⁰ See: *Assessment of UNICEF-supported communication initiatives for prevention and control of avian influenza: final report for UNICEF*, Silvio Waisbord, March 2008 and *Social Mobilization and Behaviour Change Communication for Pandemic Influenza Response: Planning Guidance*, AED, September 2009.

²⁵¹ Bangladesh case study and C4D *Communication for Development Strategic Vision and Policy Framework for Implementation of UNICEF’s Strategic Plan 2014–17*, (draft 28 June 2014) UNICEF HQ

Successes	Challenges
<p>with substantially helping government-led efforts to stop Ebola spreading to Nigeria in 2014.²⁴⁷</p> <ul style="list-style-type: none"> Key household practices – Bangladesh: Cross-sectoral C4D work is being done on eight key household behaviours and practices, reaching approximately 4 million people with information and awareness-raising. There have been several successes to date, for example research in 2015 showed that in seven <i>upazillas</i> of seven selected districts with C4D intervention, 48% pregnant women made at least four antenatal clinic visits compared to 38% in non-intervention <i>upazillas</i>. Consumption of at least 100 IFA (iron-folic acid) tablets by pregnant women is also 16% higher in intervention sites as compared to non-intervention sites.²⁴⁸ Nutrition: Infant and Young Child Feeding – Bangladesh: some outstanding recent achievements in C4D/Nutrition include: exclusive breastfeeding increased from 49% (2012) to 64% (2015); coverage of IFA supplementation among pregnant women increased from 32% (2012) to 55% (2015) in the project area; 99% children aged 6 to 59 months have been reached with Vitamin A supplementation through a national campaign.²⁴⁹ 	<p>the situation is too urgent to take the time required to establish solid community processes in order to respond to communities' information needs in a participatory way.²⁵²</p> <ul style="list-style-type: none"> Nutrition – Ethiopia – difficulties shifting diverse and complex barriers to behaviour change and social norms around feeding and caring behaviours are perennial challenges in Ethiopia. For example, the existence of diverse cultural practices and beliefs around young child feeding and care has become a major bottleneck to positive behavioural change. Moving forward UNICEF is trying to use more operational research to uncover the different behavioural barriers and ensure messages and delivery channels are appropriate to the local context.²⁵³

7.4 Findings and lessons learnt from UNICEF's efforts building the C4D capacity of counterparts

This section distils findings from the work that UNICEF has been doing in supporting government counterparts and NGO implementing partners in building their C4D capacity. The evaluation focused on a number of issues, including the level of partner C4D capacity, the

²⁴⁷ Nigeria case study.

²⁴⁸ Bangladesh case study.

²⁴⁹ Bangladesh case study

²⁵² Nigeria case study.

²⁵³ Ethiopia case study.

demand among partners for support, the nature of the support being provided by UNICEF and the opportunities and challenges associated with this type of work.

Limited partner capacity is probably the biggest barrier to effective design and implementation of C4D initiatives. Given that UNICEF works through partners, their capacity to engage with and implement C4D activities is central to the success of C4D programming. Current levels of capacity are considered low in most of our sampled countries. First, in many countries there is a general lack of understanding of what C4D is among partners, particularly in government. In several case study countries there was a conflation among government partners between C4D, public relations and the development of communications material (e.g. Ethiopia, Kyrgyzstan, Vietnam), and the C4D teams in these countries expressed concern that government did not understand the importance of participation and ensuring communication strategies are evidence based. Second, in many instances, natural C4D counterpart structures simply do not exist; it is exceptional countries like Nigeria or Bangladesh which have decentralised government structures specialising in and committed to reaching down to the community level.²⁵⁴

Among NGOs, capacity seems to be slightly better, although still mixed. NGO capacity exists in many countries around working with communities, community mobilisation strategies and local advocacy. For example, in Bangladesh there is an extensive network of NGOs (e.g. BRAC and Grameen) that are very skilled at this. However, the more ‘formal’ understanding of C4D, methodologies and social behavioural concepts underpinning good communication often does not exist.

Building capacity of partners in C4D is a clear priority for UNICEF and much is being done across COs. In response to the desk review survey, the majority (19 out of 24) of COs indicated that building the capacity of partners in C4D was a ‘high’ to ‘very high’ priority over the next 3 years. Likewise, 24 out of 25, indicated that they had delivered some kind of C4D capacity support to government counterparts and/or implementing partners in the past 3–4 years. There is a plethora of external capacity development initiatives going on, with a wide range of partners around the world, from training of community radio broadcasters to use Facts for Life (Sudan), through supporting emergency communications with NGOs (Bangladesh), to training on the basic principles of C4D with the heads of government communication units (Chad). Table 18 presents a typology of the different capacity development strategies that are being used across the 25 desk review and case study countries.

Table 18: Types of C4D capacity support provided by COs to external to partners

Type of capacity support	Example from country offices
Training and workshops	UNICEF Nicaragua has delivered C4D training to government and partners on C4D principles and strategic planning for behaviour and social change; strategic planning for working with on adolescents; and a workshop on communication for behaviour and social change with universities and school-teachers

²⁵⁴ For example, Nigeria has structures such as the National Orientation Agency, National Youth Service Corps and Health Educators, all with thousands of on-the-ground personnel all over the country, but this is not the case everywhere.

Type of capacity support	Example from country offices
Development of guidance and support-materials	UNICEF Bangladesh has adapted Facts for Life to the Bangladesh context, translated it into a range of local languages and distributed it through channels in the Ministry of Health to frontline health-workers. Messages have also been contextualised and categorised (through a message library) for use by community-based media and NGO partners for use during cyclones, hurricanes, flooding, storm surges and other disasters
Training of trainers	UNICEF Ethiopia delivered a training of trainer programme for the Islamic Affairs Supreme Council on communication for polio, EPI, IPC, and select actions for WASH, nutrition, and broad health in line with koranic teachings. It starting with regional training of 47 sheikhs and imams and went down to kebele level, covering over 1,200 leaders
Systems strengthening with government	UNICEF Bangladesh supported the WASH section in helping the government to develop and put in place a national policy and strategy to reform the water and sanitation sector which takes full account of socio-cultural challenges around good hygiene and sanitation behaviours
Short-term technical assistance, advice, coaching, mentoring	UNICEF D R Congo has provided on the job C4D training and coaching to staff Ministry of Health

The capacity support provided by UNICEF is well received by partners, but constant demand presents problems for UNICEF. There was consistent praise across the country case studies for UNICEF capacity support around C4D and the value it adds and a strong appetite for more.²⁵⁵ However, this strong demand poses challenges for many COs. Notably, there is not always the supply to meet the demand. Many C4D staff are simply unable to provide the support that is needed from partners. One of the reasons for this is that turnover among government staff is so high. A high level of turnover among partners, particularly government, was raised in all of the country case studies. In Ethiopia, for example, there is a sense among the C4D team that too many resources were being put into training individuals on C4D who quickly move onto different roles, and because most of the training is one-off, this means capacity gaps reappear after a few years.

Building sustainable partner capacity requires a long-term vision and plan. In order to create sustainable capacity in C4D, it is essential that efforts are underpinned by a strategy that looks beyond the 2-day training course or the new toolkit, and maps out what sustainable capacity in a particular partner (or group of partners) looks like and what support is needed. In the desk review survey, 21 out of 25 COs indicated that they had a plan guiding their C4D capacity development efforts. While this is positive, it was not possible to tell whether such plans were genuinely C4D specific, how current they were and, what their quality was. The earlier finding that only four COs have conducted formal partner capacity or needs assessments (see section 6.2.1) perhaps raises questions about how detailed these strategies are likely to

²⁵⁵ Ethiopia case study; Bangladesh case study; Vietnam case study; Nigeria case study.

be. Arguably, in the absence of a systematic mapping of partners' capacity strengths and weaknesses it is not possible to develop a meaningful plans for how best to support them.

India is the stand-out example of a CO having a long-term vision and strategy for building the capacity of partners. It has rolled out a comprehensive programme of support to strengthen state capacity. This includes engaging universities in 10 states to strengthen mainstreaming of C4D in their academic programmes, capacity development of senior and programme managers in state level district health teams, creation of social and behavioural change communication (SBCC) cells in state departments and convening SBCC working groups with partners.

It also needs to be underpinned by institutional partnerships with C4D capacity development providers. As part of the CO long-term efforts to build local capacity, a common lesson is that it needs to establish long-term partnership with universities and training providers. For instance, in Nigeria, UNICEF has established strategic partnerships with Ahmadu Bello University and the Kaduna State University on C4D training and research. In UNICEF Bangladesh, partnerships have been built with local training institutes (such as the National Institute of Mass Communication) and universities. These have allowed UNICEF to significantly scale up its capacity development efforts. In Bangladesh strategic plans are being made to partner formally with local academic institutions like universities and government training institutes to try to mitigate the problem of having to constantly train new government personnel, and try to embed a sustainable cycle of C4D capacity building in government. Conversely, in the case of UNICEF Ethiopia, it is the absence of such partnerships that is preventing the CO from significantly scaling up its C4D capacity development efforts with partners.

Where there have been concerted efforts to build capacity of counterparts there is anecdotal evidence of impact. Across the country case studies, Nigeria and Bangladesh appear to be showing some tangible successes with capacity building of partners in C4D. For instance, in Nigeria, as a result of training from UNICEF, several government ministries, agencies and CSOs now use data and evidence in writing funding proposal and in planning on-the-ground interventions. They have become more committed to using C4D techniques to get community change and to utilising participatory approaches in interactions with stakeholders.²⁵⁶ In Bangladesh, gains are also visible: for instance there is evidence of a shift in understanding at the Ministry of Information about the need for C4D approaches and both the Health Department and the Ministry of Local Government have recently set up small units on health communication and social development divisions which were hailed by UNICEF staff as a 'significant turning point in [government structures] taking social/behaviour change issues seriously.'²⁵⁷

²⁵⁶ Nigeria case study.

²⁵⁷ Bangladesh case study.

KEY MESSAGES

- In no country office that was reviewed would it be possible to evaluate the contribution of C4D initiatives and strategies to the results of the country programme as a whole. This is because the positioning of C4D results in the CO results frameworks is often unclear and monitoring data on behaviour change, social norms change and/or social mobilisation is either not being collected or of poor quality.
- The evaluability of specific C4D interventions and programmes is more positive. Of the 10 that were reviewed, half could be evaluated in the future to examine how C4D is contributing to behaviour change. Four of these programmes had contracted out M&E to an external provider and were in fact running independent evaluations alongside programme implementation.
- In order to build the evidence base on C4D, UNICEF needs to allocate more resources to evaluating C4D interventions. Currently, there is underinvestment in this area. While the four impact evaluations that were identified through this study will be important contributions to strengthening this evidence base, given the scale of UNICEF's investment in C4D four impact evaluations are arguably not enough to build up a compelling evidence base of what types of C4D interventions work in what contexts. Without robust evaluations of C4D there will not be credible evidence on C4D proven impact, and without proven impact it will be difficult to convince more sceptical staff, particularly section chiefs, of C4D's value and to mobilise resources. Larger country programmes, ROs and HQ have an important role to play in resourcing this evidence generation and supporting its exchange across the organisation.

8 Evaluability of C4D

8.1 Introduction

This section presents the findings on evaluability. The framework used to assess evaluability has two components: (1) Whether it is possible to evaluate *in principle*. Here the focus is on whether the underlying logic of the programme was clear and, specifically whether the contribution of C4D (i.e. behaviour and social norms change) was clearly articulated. These issues were reflected in a series of indicators that were used across COs (see Table 19). (2) An assessment is made whether it was possible to evaluate *in practice*. This involved looking at the monitoring data that has been collected, assessing its robustness and making a judgement on whether it is good enough to form the basis of an evaluation on the effects of C4D activities on behaviour / social change in the future. Again, these issues were reflected in a series of indicators detailed in Table 19.

Table 19: Indicators used to assess evaluability in principle and practice²⁵⁸

Indicators for assessing evaluability in principle	Indicators for assessing evaluability in practice
<ul style="list-style-type: none">• Behaviour changes, shifts in social norms, social mobilisation and/or advocacy clearly articulated• Causal logic clear on how the C4D intervention contributes to behaviour change / social norms outcomes	<ul style="list-style-type: none">• Indicators exist for tracking C4D activities and the behaviour changes and/or social norms that the programme aims to affect• The data that is robust and credible• Availability of baseline data or feasible plans for collecting it

The evaluability framework was applied at two levels:

- **Country programme results framework.** At this level, an assessment was made of whether it would be possible to assess the contribution of C4D initiatives and strategies to the results of the country programme as a whole. This assessment was conducted across the desk review and case study countries.²⁵⁹ The primary reference sources were results frameworks/matrices together with interviews with key M&E staff.
- **C4D programme/projects.** Here, a sample of C4D specific programmes or projects were selected from across the five country case studies (two per country) and an evaluability assessment conducted. The initiatives were selected that had a strong body of C4D work, then within these, interventions that were either high profile or innovative. The selected initiatives are detailed in Table 21 below. Key documents reviewed included: planning documents, logframes and M&E plans.

²⁵⁸ The indicators used in the final evaluation differed slightly from those in the Incpetion report, for a number of reasons. First, an indicator under evaluability in practice that referred to 'the underlying logic of the programme is clear' was merged with the indicator referring to clear causal logic, because we found in practice they were the same. Second, we end up removing the indicator on whether there was appropriate capacity in the programme management team to collect high quality data as it proved too difficult to make the judgement across all 25 countries given that 20 were only conducted through desk reviews.

²⁵⁹ Data was deemed to be insufficient for three countries (Sudan, Azerbaijan, Haiti) due the limited documentary evidence provided.

This section has three main parts: The first presents the findings from the evaluability assessment of 25 CO results frameworks (8.2); the second, the results of the evaluability assessment of 10 specific C4D initiatives (8.3).

8.2 Evaluability of country programme results frameworks

It would not be possible to evaluate the contribution of C4D programming to specific sector results in any of the country programme. This is because the contribution of C4D is generally unclear and the monitoring data collected is of poor quality. Of the 23 results frameworks that were reviewed, the evaluation identified none in which it would be possible, *in principle*, to evaluate C4D programming across the country programme (see Table 20).²⁶⁰

Table 20: Evaluability of country programme results frameworks (23 countries)

Evaluability in principle			
	Both programme logic and specific contribution of C4D is unclear in the results framework, significant improvements needed before it would be in principle, possible to evaluate	There are gaps in the intervention logic and the contribution of C4D is not completely clear in the results framework. Some improvements are needed before it would be, in principle, possible to evaluate	There is a clear underlying logic to the results framework, and the specific contribution of C4D is clearly articulated. In principle it is possible to evaluate the intervention
	7 COs	15 COs	0 CO
Evaluability in practice			
	Significant questions about data quality and coverage. Significant improvements needed before it would be possible to in practice evaluate at country programme level	Gaps in data quality and/or questions about the quality data means that the country office requires some improvements in its data collection before it would be possible in practice to evaluate	High quality data is collected on specific C4D activities and results. Data is appropriate and baselines are available. It would be possible, in practice to evaluate C4D
	9 COs	13 COs	0 CO

²⁶⁰ 15 COs were judged to have results frameworks, which would require at least some improvement before they would in principle be evaluable; seven would require significant improvement.

The three most common reasons for not being able to evaluate C4D *in principle*, and therefore the areas where improvement is most needed, were:

- **The results statements were generally unclear on what behaviour and social changes were being sought.** In a number of COs, it was simply unclear what the C4D result was that was being sought. For example, in UNICEF Sierra Leone's results framework, C4D sits under the programme component result 'Improved policy environment and systems for disadvantaged and excluded children, guided by improved knowledge and data'. However, it is not clear how this result statement relates to C4D. Likewise, in UNICEF Ethiopia, one of the C4D outputs is 'enhanced capacity of rural communities to provide and maintain adequate and sustainable WASH services', yet it is not clear how behaviour change, shifts in social norms or social mobilisation relate to this.
- **The causal logic between levels of C4D results was not clear.** In a number of COs, output level C4D results were found where there was no logical link to the outcome it was contributing to, and vice versa. For example, in UNICEF Kenya, the CO results framework includes C4D as an outcome focused on stimulating greater participation among children and their families, and shifting behaviours among caregivers, households and communities.²⁶¹ One of the outputs that sits under this outcome, however, relates to the use and generation of evidence.²⁶² How improving the systematic use of evidence at different levels of government will in turn improve participation or shift behaviours is unclear.
- **There was a lack of clarity about how C4D activities linked to behaviour and social change results.** While there is often much C4D activity taking place, it is not always clear how this contributes to results. In the case of UNICEF Bangladesh for example, while the evaluation found a huge amount of activity taking place across the country programme, outside of the 'Engaging Communities Programme' (see below), it was often not possible to see how the C4D activities linked to, and therefore might contribute to, the behaviour change, demand creation or awareness-raising outputs in the results framework. Unless this link is clear it is very difficult to attribute changes in behaviour etc. to a specific C4D intervention(s).

Again, across the sample, the evaluation found no CO, for which it would *in practice* be possible to evaluate C4D programming across the country programme. The main reasons for this, and therefore the key areas for improvement, are:

- **The indicators that have been set to measure behaviour and social change are poor.** The main problem was that the indicators that are selected often do not measure the result they are a proxy for. Many are process indicators measuring scale and reach, rather than changes in behaviour. To take an example from birth registration in UNICEF Nigeria: what is measured appears to be the number of 'awareness-raising days' where religious leaders encourage people to get their baby's birth registered. However, instead of counting how

²⁶¹ 'By 2018, children and adolescents and their families participate in processes affecting them; and caregivers, households and communities, in high-deprivation counties and urban locations, adopt positive child-sensitive norms and key practices in development, and emergency contexts.'

²⁶² 'By 2018, national and selected counties governments and UNICEF programme implementing and boundary partners have capacity to systematically generate and apply evidence for strategic communication for social and behaviour change in planning, implementation, monitoring, and evaluation.'

many such days are held and ticking them off against a target, a better indicator would be the proportion of the audience at these gatherings who register a positive change in their knowledge, attitude or practice towards birth registration. The other problem is that the indicators are poorly formulated; rarely are they SMART.

- **There is a lack of or incomplete baseline data.** Across the majority of COs, examples were found of baseline data either not being collected, or data being collected but with no follow-up. Without baseline data it is very difficult to estimate whether and to what extent knowledge, attitudes and practices have changed, and therefore the contribution C4D strategies have played. The challenge that many COs face relates to the costs of large-scale data collection efforts required for measuring behaviour change at a national and district level. While some have invested in conducting KAP surveys, such as UNICEF Nigeria and Turkey, they do not always have the resources for follow-up midway or at the end of the CPD to track change.
- **The monitoring data that is collected is sporadic.** In some cases, the data is simply not being collected, that is, there is an indicator, but there is no evidence that data is being collected against it; or in others, that data has been collected, but not on a regular basis. This was the case in UNICEF Kenya and Nepal, among many other COs.

The challenge for UNICEF will be how it can encourage sections to invest more in robust M&E. The finding outlined above suggest, that current practice is very patchy. As discussed in early sections of this report, the experience of polio could be instructive, as there has been a strong track record of robust data collection and use within his area. Arguably, what has been done in polio should be reflected across all of UNICEF C4D work.

It is also important to note that the challenges faced by C4D with regard to evaluating its contribution to the sector results contained within UNICEF's results frameworks is not unique to C4D. Other cross-cutting issues face similar challenges. The evaluability of UNICEF's 2014–17 Strategic Plan for example found that there are challenges around evaluating the contribution of most of UNICEF's cross-cutting theme such as equity, human rights, gender etc. This is because there is often a lack of clarity on exactly what outcomes the cross-cutting themes are contributing to.²⁶³ The recent MTR of the Strategic Plan echoed this, and stressed the need to increase the visibility in results frameworks of cross-sector issues.²⁶⁴

8.3 Evaluability of C4D programmes/projects

The evaluability of field level C4D interventions is more positive. Half of those reviewed could be evaluated in the future to examine how C4D is contributing to behaviour change. Across the 10 C4D initiatives that we reviewed through the country case studies, the prospects for conducting high quality evaluations in the future is positive. Eight were considered evaluable in principle. This meant that the design documents demonstrated a clear programme logic with the

²⁶³ UNICEF (2015) UNICEF Strategic Plan 2014–17: Evaluability Assessment, Final Report, Evaluation Office, July 2015, NY.

²⁶⁴ UNICEF (2016) Report on the midterm review of the Strategic Plan, 2014–17 and annual report of the Executive Director, 2015: performance and results, including a report on the implementation of the quadrennial comprehensive policy review, Executive Board, Annual Session 2016.

contribution of the C4D results clearly articulated. Of these eight, five were in turn judged to also be evaluable *in practice*, meaning that the data that is being collected is sufficiently robust to support an evaluation in the future (see Table 21).

Table 21: Evaluability of 10 field level programmes (C4D components)

Case study country	Sampled C4D programmes / projects	Evaluability in principle	Evaluability in practice
Bangladesh	• Cross-cutting C4D programme 'Engaging Communities' in 20 districts	G	G
	• WASH Programme in schools: 23 districts	G	A
Ethiopia	• Urban WASH Programme implemented by World Vision International	G	G
	• Ending Childhood Marriage Programme, Amhara Region	G	G
Kyrgyzstan	• WASH Programme with Students in Jal School	G	A
	• Youth and Adolescent Development Programme in Orlovka village	G	G
Nigeria	• Youth Programme (communications for community mobilisation), Kaduna State	G	A
	• Nutrition Programme, Kaduna State	G	G
Vietnam	• Maternal Health Project, Ninh Thuan Province	A	R
	• Child Friendly Social Protection Project, Ninh Thuan Province	A	R

The difference in scores across the sample between evaluability *in principle* and *in practice* suggests that while partners are able to clearly position C4D in programme designs, their ability to design robust M&E frameworks to support robust data collection is less developed. Interestingly, in four of the five C4D interventions that were judged to be evaluable (the Urban WASH and Ending Child Marriage programmes in Ethiopia, Engaging Communities programme in Bangladesh and the Nutrition programme in Nigeria) UNICEF partners are working with an external M&E provider. The M&E provider is responsible for formulating indicators, conducting baseline, midline and endline data collection on knowledge, attitude and practices and producing periodic evaluations to help the programmes learn from what is working and what is not and to assess impact of the C4D interventions. (See Text Box 5 for details of the M&E arrangements that are in place in Bangladesh and Ethiopia.) While this model may not be possible in all contexts, given the capacity gaps that have been identified in C4D staff's

knowledge and practice around C4D M&E (see section 5.3.1), where resources are available it is a model that is well worth considering.

Text Box 5: Examples of evaluations of C4D programmes

Impact evaluation of UNICEF Bangladesh's Engaging Communities for Behaviour and Social Change for Child Well-being' programme.

UNICEF Bangladesh's 'Engaging Communities for Behaviour and Social Change for Child Well-being' programme works to shift behaviours relating to eight key household practices (hand-washing, service seeking for pneumonia, exclusive breastfeeding etc.). It has one outcome (programme component result) and three related outputs (intermediate results) in the results framework, and a set of KAP and numerical indicators. To support learning and to demonstrate impact the C4D Section contracted an independent impact evaluation to run alongside the programme. Led by J.P. Grant School of Public Health/BRAC University the evaluation team is responsible for collecting data at baseline, midline and endline. The methodology involves monitoring of C4D interventions through Knowledge Management Outreach Sites and entails process and results monitoring through knowledge and behavioural data collected from seven intervention and seven non-intervention *upazillas* (1,680 control areas compared with 1,680 treatment groups) within seven C4D program districts, working with seven NGOs. Data collection for endline results will be concluded by the end of this year (2016) and the report will be available in early 2017.

Evaluation of the Ending Child Marriage programme in Amhara Region: Baseline Survey, Mid-term and Final Evaluation. UNICEF Ethiopia's Ending Child Marriage programme in Amhara region is overseen by the Child Protection Section. The objective of the initiative is to galvanise stronger programmatic action, political support and resources towards ending child marriage and to generate consensus based on evidence on best ways to achieve results at scale. To support implementation an evaluation team has been contracted to work alongside the programme. The purpose of the evaluation is to inform the Ending Child Marriage programme implementation in Amhara region and establish knowledge management system to generate learning to inform programme decision making. The evaluation contract covers refinement of the programme log-frame, undertaking a baseline KAP survey, collecting monitoring data every six months and conducting a mid-term and Final Evaluation focused on the OECD-DAC criteria.

Current investment in evaluating C4D's impact seem low. Evaluations play a central role in building up the evidence base on C4D. While there may be recognition of this within UNICEF, in practice, very few evaluations are actually being commissioned at country level. Out of our sample of 25 COs, only eight have conducted or commissioned an evaluation of a C4D initiative / or an initiative with a major C4D component in the past 3 years. Whether this is to do with inadequate budget, or evaluations not being prioritised, is not clear. However, without robust evaluations of C4D interventions there will not be credible evidence on C4D proven impact, and without proven impact it will be difficult to convince more sceptical staff of C4D's value and to mobilise resources.

9 Conclusions

Overall conclusions

Behaviour and social change is central to all areas of UNICEF's work, so too is C4D. The recent experience of the Ebola response has further cemented this belief within UNICEF and galvanised more investment in this area through the 'Strengthening C4D Initiative'. Recognising the centrality of C4D to its work, UNICEF has made substantial investment in developing its internal capacity and mainstreaming C4D as a cross-cutting programme strategy at all levels of the organisation. The evaluation has found that UNICEF's efforts to build internal C4D capacity have been largely successful. Through a range of initiatives, UNICEF has created a cadre of professional staff that have the knowledge and skills in C4D to support and advise others in the organisation and externally. This has helped cement UNICEF's reputation among partners as a leader in C4D. However, the extent to which improved capacity has led to greater integration of C4D at all levels within UNICEF, and in turn improved the quality of C4D implementation, is mixed. Particularly at the country level, the evaluation found that the level of C4D integration in CO planning, resources and monitoring was frequently insufficient to meet the needs of the country programme and while implementation was good, it varied significantly across countries. The main reasons for this are a combination of factors: an absence of adequate financial allocations to C4D, uneven senior management support, particularly among section chiefs, for C4D, and limited investment in building an evidence base on the impact of C4D strategies. Moving forward, these need to be priority areas for action in order for UNICEF to build on the gains that it has made to date, and to mainstream C4D and ensure consistent high quality C4D implementation across the organisation.

The evaluation has shown that UNICEF's theory of change for how capacity development contributes to better integration and implementation has not played out in practice. However, this is not because the theory was inaccurate, but rather that certain conditions in the theory were not achieved. Although UNICEF has improved the C4D knowledge and practices of individuals, it has not been able to sufficiently influence key levers in the wider organisational environment that enable individuals to drive C4D forward notably, senior management support and financial resourcing. Without these two conditions being met, the integration of C4D into structures and programming has been piecemeal and the quality of C4D implementation has been variable.

A. C4D Capacity Development

1. UNICEF's overall organisational C4D Capacity Development Framework has provided an appropriate and relevant strategy for capacity and action since 2008; however, it has not kept pace with internal developments and is now largely redundant. As UNICEF redoubles its efforts over the coming years to both deepen and expand C4D capacity, a new strategy is needed.
2. The use of global courses to build internal C4D capacity has been a relevant strategy for UNICEF to pursue. Given the level of internal capacity when the Ohio and UPenn courses started, centralised global C4D training programmes enabled UNICEF to keep close

oversight of course content and quality. This was necessary to build a common C4D language in UNICEF.

3. UNICEF's C4D capacity development initiatives have been largely effective. The cumulative effects of UNICEF's investment in developing staff capacity in C4D have led to notable improvements in knowledge and practice. The contribution of the Ohio and UPenn courses to this has been notable. Country and regional-level trainings have also played an important role contextualising content from the global courses and expanding the reach of C4D training to a wide range of CO staff (because they are less costly per participant). However, too often, these have been delivered as stand-alone activities rather than as part of a longer-term capacity development programme, which has limited their effectiveness. Whether regional training is available to COs also varies considerably between ROs.
4. UNICEF's technical guidance on C4D is has been effective in providing support and direction to those involved in C4D programming. It has integrated cross-cutting issues of participation and gender equality well but is weaker on human rights and equity issues. Areas in which further C4D technical guidance is needed include child protection, education and research, monitoring and evaluation.
5. Overall, an intensive effort of high quality capacity development has taken place over the last 4–5 years that has served to build the skills of a cadre of C4D staff. However, UNICEF now needs to deepen staff's knowledge through more sector-focused courses (e.g. on monitoring and evaluating C4D and on advocating and influencing), and expand the reach of its capacity development through building the C4D capacity of a wider range of programme staff (those that do C4D, but are not C4D specialists or officers) at a HQ/regional/country level. The Ohio and UPenn courses have an important role to play moving forward; however, current costs are too high to enable significant scale up. Both will need to be redesigned to allow a wider range of UNICEF staff to benefit from them. An expanded range of regional and country-level C4D training will also be important to meet this need.
6. Efforts to create an enabling organisational environment for C4D have had mixed results. While there have been successes in increasing overall C4D staff numbers, and establishing clear HQ accountabilities on C4D (which it is largely delivering on), attempts at creating champions among senior managers²⁶⁵ has been mixed, as has creating sufficient C4D support for COs at the regional level. Particularly at the country level there is varied backing among section chiefs for C4D. A lack of a clear strategy laying out how UNICEF would engage senior managers has contributed to this. Likewise, many ROs have struggled to deliver effective support or provide regional leadership on C4D. This has been a result of an absence of C4D advisors in many ROs. The current effort to ensure regional C4D advisors in each RO is therefore an important development.
7. The limited number of champions at senior management level and lack of financial resources for C4D are the main threats to operationalising and sustaining the capacity gains that have been achieved to date. Furthermore, gains made by C4D training could also be

²⁶⁵ Senior managers is used in the evaluation to mean at CO level: Representative, Deputy Representative, section chiefs; at RO level: Regional Director and Deputy Regional Director; and at NYHQ level: Director, Deputy Director, and Chief.

undermined if a wider body of technical staff are not also trained and if follow-up/refresher training is not provided to past participants of global courses.

B. Integration of C4D

Integration at the country level

1. At country level, the picture of how well C4D has been integrated into structures, strategies, plans and resourcing is mixed. While there are outstanding COs such as UNICEF Kenya, Bangladesh, India and Nigeria, many have significant room for improvement. In the majority of COs, the level of C4D integration is currently not sufficient to meet programming requirements.
2. In many COs, there is a lack of a clear C4D vision/strategy either at the level of the country programme or individual sections. Without a comprehensive formalised strategy (or at least a complete set of sectoral strategies) there is the risk that COs have no overarching vision that people can understand and buy into. This can lead to C4D staff and partners feeling directionless and makes communication of C4D's added value more challenging.
3. Most COs incorporate C4D in planning to some extent but there are areas for improvement such as the need for more detailed analysis of opportunities and barriers to social/behaviour change in the situation analyses; clearer positioning of C4D in the results frameworks; and ensuring more joined up work planning between the C4D team and other programme sections.
4. C4D integration in CO resourcing is problematic. Across most COs, financial resources are largely insufficient to meet the needs of the country programmes and C4D initiatives are frequently underfunded. Part of the challenge for C4D in mobilising funds is that as a support strategy it is mainly reliant on sections to raise funds. This requires C4D staff to constantly convince colleagues of its value and advocate for resources. This arrangement does not lead to a sustainable resource base. Some COs are addressing this through formal mechanisms such as percentage caps from sections, others through C4D involvement in all proposal processes.
5. Across most COs, human resources are largely insufficient to meet the needs of the country programme. While in some countries the response to this should be additional staffing, in others it might be building internal capacity among staff of other sections to cover C4D requirements themselves. Arguably, this is a more sustainable option and better supports the mainstreaming of C4D in programmes. The seniority of those leading the C4D function across COs is problematic. Especially in COs with large C4D programmes, there is a need for more P4 and P5 staff. This seniority of staff would bring the status and credibility that is needed for C4D to successfully collaborate and negotiate with section chiefs and government.
6. The way COs structure the C4D function is a response to a range of local factors including resources and the needs of the country programme. While no one model stands out as 'best', some (e.g. C4D sitting under communications) can result in C4D being hidden which

risks it being under-resourced and under-delivering. In such cases, it is important to find ways of ensuring a voice for C4D on country management teams.

7. Experiences of joint working between C4D and external communication varies between COs. In large country programmes where C4D and external communications each have substantial portfolios, collaboration is positive and on a needs basis. In those COs where upstream work is expanding and direct implementation is diminishing, the scope for overlap and ambiguity between the two functions increases. Given the wide remit of C4D within UNICEF there will often be overlap between what C4D does and the work of others. Finding ways for C4D to work with functions such as External Communications and/or public advocacy in a complementary and synergistic way is a key challenge for UNICEF.

Integration at regional level

8. While there has been progress in integrating C4D at the regional level, it has been slow and there remains scope for improvement. The recruitment of C4D regional advisors in four ROs is a positive development and had been central to strengthening integration in four regions (WCARO, ESARO, MENARO and ROSA); the remaining regions need to follow suit. WCARO, ESARO and to a lesser extent EAPRO stand out as ROs which have invested significantly in C4D at the regional level (both WCARO and ESARO, for example, have developed regional C4D strategies) and could offer support and guidance to other ROs strengthening their C4D capacity. Looking ahead, ensuring adequate capacity at the regional level will be essential if UNICEF aims for greater regionalisation of C4D capacity development.

Integration at HQ level

9. At NYHQ level, C4D is well integrated into the 2014–17 Strategic Plan with behaviour and social change reflected in all sector results areas. However, C4D's positioning under the 'capacity development' and 'service delivery' implementation strategies has resulted in less profile in reporting on C4D across the organisation. In terms of resourcing, the C4D Section is stretched. Although its promotion to a section was positive, this did not come with an associated increase in funds. While the Section has been able to mobilise funds through a range of sources, these arguably do not match the ambitious agenda it has developed.
10. Although efforts to integrate C4D into core processes such as MORES have had some success, C4D is not fully integrated either on paper or in practice in core organisational processes such as guidance on CPDs and annual reviews. This is a contributing factor to C4D's low profile in planning and reporting processes at different levels within the organisation.

C. Implementation of C4D

1. UNICEF is supporting a wide range of C4D initiatives at country level. Some of these are having a tangible impact on behaviour and social norms. These represent important success stories that demonstrate the value that C4D can add to programming. A number of lessons can be drawn from these initiatives on how best to implement C4D at country level. While UNICEF already knows many of the lessons that have been identified, it does not always

put them into practice. Some of the most important include: C4D in UNICEF works best when implemented as a component of development or humanitarian programmes, not as a stand-alone project; and gathering a detailed understanding of social norms and cultural practices is crucial to the effectiveness of any C4D intervention.

2. Overall, country offices show an average performance, with few countries being outstanding and none doing very badly. This indicates that the quality of C4D implementation is sound, but with room for improvement. The COs in the sample that performed best across all benchmarks were Nigeria, India and Bangladesh. Across benchmarks, COs are most active in establishing and facilitating multi-stakeholder working groups and task forces that lead planning and coordination on C4D (Benchmark 1). This was the highest performing benchmark. Performance was worst in relation to documenting and sharing lesson learnt from C4D implementation (Benchmark 5). COs use of evidence to inform C4D plans and strategies (Benchmark 2), and its consultation with communities (Benchmark 3) is largely good, however practice is variable: in very few COs it is systematic. Given evidence use and participation are core underlying principle of UNICEF's understanding and approach to C4D it is important that the weaknesses in these benchmarks are addressed.
3. As part of C4D implementation, UNICEF country offices are also providing support to government and NGO partners to build their C4D capacity. Given that partner's ability to understand and engage with C4D can be a significant barrier to effective design and implementation of C4D interventions, building their capacity is a priority for many COs. The demand for support among partners, however, is high, and many COs are struggling to meet it with much more than ad hoc training and workshops. Those that have been most successful in strengthening partner capacity have built long-term partnerships with universities and training providers and have underpinned this with a long-term vision and plan for partner capacity development. These partnerships provide UNICEF with the flexibility to respond to partner demands for capacity support as and when they emerge, but also the ability to significantly scale up capacity support across government (e.g. India). Encouragingly, there is anecdotal evidence to suggest that in those countries such as India, Bangladesh and Nigeria, where such a long-term strategic investment has taken place, there have been tangible impacts on government capacity.
4. While UNICEF has delivered capacity support to partners, the main strategic investment to date has been to develop the capacity of UNICEF staff to design and implement C4D initiatives. This strategy made sense when UNICEF needed to build its own internal cadre of skilled C4D professionals that could advocate for and advise others on C4D. However, with this cadre now in place, UNICEF needs to look at how it can continue to expand and deepen internal C4D expertise, while also opening up opportunities for C4D capacity development to government and NGO partners.

D. Evaluability of C4D

1. Overall, the evaluability of C4D at the level of country programme results frameworks is low, that is, it would be very difficult to evaluate the contribution of C4D initiatives and strategies to the results of the country programme as a whole. This is because the positioning of C4D

results in the results frameworks is often unclear and the monitoring data that is collected on behaviour change, social norms change and/or social mobilisation is of poor quality.

2. The evaluability of specific C4D interventions and programmes is much more positive. At this level, the positioning of C4D in the programme design is much clearer and M&E frameworks tend to be better. C4D programmes that have a clear programme logic and are collecting robust monitoring data represent important opportunities for UNICEF to commission impact evaluations and to build the evidence base on C4D.
3. An interesting model pursued by some COs for improving the evaluability of C4D programmes is to contract out the data collection function to an external provider and to run an independent impact evaluation alongside programme implementation. Given the capacity gaps that exist among C4D staff concerning M&E, this is one way of significantly improving the evaluability of C4D interventions. UNICEF could also consider a portfolio review of a number of country programmes where C4D activities are numerous and where robust evaluation exercises are already happening. It might be possible, if a sufficiently large and representative sample of such programmes were selected, to do a systematic review of the evidence and then build up an overall picture of the contribution of C4D to UNICEF's programme outcomes globally.
4. Building the evidence base of what works in C4D needs to be a priority for UNICEF. It is central to furthering integration across the organisation. Evaluations play a central role in this. Without robust evaluations of C4D there will not be credible evidence on C4D proven impact, and without proven impact it will be difficult to convince more sceptical staff, particularly section chiefs, of C4D's value and to mobilise resources. At present, UNICEF does not allocate sufficient resources to evaluating the impact of C4D interventions. This said, it should not be assumed that all evaluations of C4D activities will show positive impact – some may be negative or may show C4D having limited success – in which case UNICEF will have to ensure lessons are learnt. But robust evaluation methods are the key. C4D teams or sections at all levels of the organisation will ultimately have stronger internal reputation if they are able to clearly highlight both the limitations of their approaches and the successes. For country programmes such as India, Nigeria, Bangladesh and Ethiopia, the ROs and HQ have an important role to play in resourcing evidence generation and supporting its exchange across the organisation.

10 Recommendations

Based on the findings and conclusions, the evaluation puts forward the following recommendations for how UNICEF can improve its C4D capacity and action. Given UNICEF's investment in C4D to date, the recent decision to fund further capacity development through the 'C4D Strengthening Initiative', and the ongoing evolution of C4D internally, this evaluation's recommendations are intended to help position C4D for the 2018-2021 Strategic Plan period as well as to guide future work in implementing C4D in UNICEF.

The first two recommendations are strategic and overarching. The subsequent recommendations are grouped according to the four main components of the evaluation: capacity development, integration, implementation and evaluability.

Overarching recommendations

1. UNICEF should expand the understanding of, and secure more support for C4D as an organizational strategy among a wider range of staff at HQ, RO and CO levels.

Implementation of this recommendation should include:

- Developing a refreshed C4D Capacity Development Framework, making it a single reference document for C4D that describes a shared vision for high quality C4D implementation across UNICEF and its programming priorities that staff can refer to globally;
- Providing more tailored internal capacity-building in C4D, to build on the strong capacity-strengthening efforts that has taken place to date; focusing on both deepening the knowledge of C4D staff and expanding the understanding of C4D among senior managers (see rec. 3) and a wider range of technical staff from other sectors (see rec. 4);
- Expanding the evidence-base on the impact of UNICEF's C4D strategies (see rec. 7).

Key responsible entities: Director - Programme Division; Director – Division of Human Resources; Chief - Organisational Learning and Development Section (OLDS); Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives

2. To strengthen institutionalisation of C4D as a cross-cutting issue, C4D should be given a higher profile as an implementation strategy in the next Strategic Plan 2018-2021 and country offices should be required to better integrate C4D into strategic planning, reporting and budgeting processes and to put in place mechanisms to ensure C4D has a more sustainable funding base. This should be supported by regional offices and HQ.

Implementation of this recommendation should include:

- Developing country programme wide C4D strategies or a complete set of sectoral C4D strategies that articulate the priorities for C4D in the country programme and the contribution that C4D will make to sectors;

- Integrating a more detailed analysis of social/behaviour-change in Situational Analyses and translating this into CO Strategy Notes;
- Locating C4D more clearly in country-level results frameworks;
- Routinely involving C4D team/personnel/chief in designing programmes and funding proposals to donors; fostering good working relations between programme sections and the C4D function; and / or having a systematic levy system of sectoral resources earmarked for C4D.

Key responsible entities: Deputy Executive Director - Programmes; Director – Programme Division; Chief - Communication for Development (C4D) Section; Regional Directors and C4D Advisers; Country Representatives; C4D teams/sections in country offices.

The following recommendations provide further detail. Some can be implemented as part of the ‘overarching recommendations’, others are additional.

Detailed recommendations: C4D capacity-development

3. Develop an internal strategy to engage with senior managers at all levels of the organization and support them in understanding the value of C4D. While there have been efforts to engage with senior managers in the past, more needs to be done. Options could include:

- The production of evidence briefs that summarise the existing evidence on C4D in particular sectors, and/or
- Offering short courses at HQ and regional levels that target section chiefs and Deputy Representatives and focus on key programmatic areas.

Key responsible entities: Director - Programme Division; Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives

4. Consider offering a combination of both general C4D and sector specific courses and support, to include:

- Producing a standardised C4D training-for-trainers programme that could be delivered by UNICEF staff and external providers at country and regional level;
- Developing tailored capacity support in the areas of (a) monitoring and evaluation of C4D strategies and programmes, and (b) advocating and influencing on C4D;
- Developing technical guidance on the issue of C4D and child protection, particularly ending child marriage (ECM) and violence against children (VAC);

- Continuing to offer the Ohio University C4D and the University of Pennsylvania Social Norms courses but with a redesigned structure (non-residential, core modules made available on-line, face-to-face components delivered at country and regional level).

Key responsible entities: Director - Programme Division; Director – Division of Human Resources; Chief - Organisational Learning and Development Section (OLDS); Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives and Deputy Representatives.

Detailed recommendations: Integration and Implementation of C4D

5. Review and/or strengthen C4D staffing and strategy at regional and country office levels for more systematic integration of C4D in country programmes. Implementation of this recommendation should include:

- Regional offices ensuring that they have a full time staff member who leads C4D in the region. At present, four regions already have a C4D Regional Adviser; EAPRO, CEE/CIS and LACRO need to follow suit. This is linked to the increasing demand for UNICEF's lead role in large scale emergencies or emergencies of international concern (Ebola; Syria; Cholera in Haiti; Zika) on communication and community engagement.
- All regional offices developing regional C4D frameworks (where they do not already exist) linked to regional priorities. These should include a focuses on strategic directions and actions, quality implementation and strengthening of local capacities.
- Country offices ensuring that C4D is being led by a sufficiently senior member of staff who can effectively engage with other Sections Chiefs.
- Country offices continuing to look for ways to strengthen the complementarity between C4D and external communications in order to enhance the delivery of results.

Key responsible entities: Director - Programme Division; Director – Division of Human Resources; Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives; C4D and External Communication Chiefs at country level.

6. Renew the focus on designing and delivering quality C4D interventions.

Implementation of this recommendation should include:

- Country offices ensuring that community consultation and evidence are systematically used in the design and implementation of C4D strategies.

- Country offices developing sustainable C4D partner capacity development strategies underpinned by capacity needs assessments for partners and partnerships with local universities, training institutes and local consultants/trainers.
- Country offices use the global C4D benchmarks as a tool to manage, monitor and plan key actions in C4D, particularly focused on support to government and CSO partners.

Key responsible entities: Director - Programme Division; Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives

Detailed recommendation: Data, Evaluation and Evidence

7. Strengthen monitoring, evaluation and learning on C4D. Implementation of this recommendation should include:

- Investing more funds at all levels in commissioning robust (i.e. independent, methodologically-sound) outcome evaluations of C4D-supported programmes in order to tell the C4D impact story better and, assuming the evaluation are positive, to attract more donors to the C4D elements of sectoral programmes.
- Redoubling efforts by C4D staff at country office level to document and share good practice and lessons-learned about UNICEF's rich experience with C4D, including being open about challenges and failures both internally and externally;
- Ensuring that web-based resources pertaining to C4D, both internal and external, are kept updated and well-organised in order to effectively share documented lessons and good practice;
- Ensuring that the results and M&E frameworks of C4D interventions at country office level are of high quality. This involves ensuring clear logic between C4D and other results and clear indicators that measure behaviour change not just activities and reach. Where resources are available, contracting aspects of the M&E function (e.g. baseline and endline data collection) may be appropriate as well as investing in capacity-strengthening in C4D M&E for staff.

Key responsible entities: Director - Programme Division; Director – Evaluation Office; Chief - Communication for Development (C4D) Section; Regional Directors; Country Representatives.

ANNEXES

Annex 1: Terms of reference

UNICEF Evaluation Office

Communication for Development: An Evaluation of UNICEF's Capacity and Action

Terms of Reference for an External Evaluation

1. Background

Communication for development (C4D) is the application of the principles of effective communication to further development objectives. In UNICEF, C4D is defined as a 'systematic, planned and evidence-based strategic process to promote positive and measurable individual behaviour and social change that is an integral part of development programmes, policy advocacy and humanitarian work'.²⁶⁶ C4D operates through dialogue and consultation with, and participation of children, their families and communities. It privileges local contexts and relies on a mix of communication tools, channels and approaches. In UNICEF, C4D is not part of public relations or corporate communications. Rather, it is a cross-cutting programme implementation strategy firmly grounded within the human rights-based approach to programming (HRBAP).

During the 2006–13 Medium-term Strategic Plan (MTSP) period, C4D was operationalised as a cross-cutting strategy in its own right. The 2014–17 Strategic Plan positions C4D as inherent to the implementation strategy of capacity development. C4D is part and parcel of all areas of UNICEF's work as many of the targets of UNICEF's strategic plans are strongly dependent on behavioural and social change for their impact, scale and sustainability. C4D is used widely in emergency response and the ongoing response to the Ebola epidemic has made C4D / social mobilisation a key responsibility for UNICEF.

C4D has evolved from earlier approaches to development communication that used more top-down 'diffusion' type models. These included 'Information, Education and Communication' (IEC) used within UNICEF since the 1950s, 'Project Support Communication' employed in UNICEF during the 1970s and 'Programme Communication' used in the 1980s. Since the 1990s, based on the notion of participatory development, the emphasis has shifted to multi-directional communication methods, mix of channels, importance of dialogue/trust/mutual understanding, amplifying the voices of poor people and empowerment.

In 2008, the mid-term review of the 2006–13 MTSP found that 38 of the 52 key result areas were strongly dependent on social and behaviour change and positioned C4D as a cross-cutting

²⁶⁶ UNICEF Intranet; <https://intranet.unicef.org/pd/cbsc.nsf>; last accessed 10 September 2014.

strategy to achieve these. It thus formerly revitalised UNICEF's communication capacity and C4D became part of the re-formulated Division of Policy and Practice. A C4D Technical Unit was established at UNICEF HQ in 2008 to ensure more effective institutionalisation of C4D within the organisation. Since 2010, country offices have begun reporting on C4D as a key performance indicator and C4D also resonates with UNICEF's current focus on equity, social norms and Monitoring Results for Equity Systems (MORES). The latter in particular is used at country-level to ensure that country office priorities include a behavioural and social change agenda.

Over the past years, UNICEF's C4D efforts at global level have focused on selected 'flagship areas.' These have included (1) Accelerated Young Child Survival & Development (ACSD) to achieve health-related Millennium Development Goals – particularly in Africa, the Middle East and Asia, with focus on essential family practices related to four life-saving, low cost interventions – promotion of oral rehydration therapy to address diarrhoea, exclusive breastfeeding (EBF) for the first six months, hand-washing with soap and use of insecticide treated nets (ITNs) for malaria prevention; and (2) Ending Violence Against Children and Creating a Culture of Peace using a Life Cycle Approach – particularly in Latin America and the Caribbean, Eastern and Southern Africa, and the Middle East. At the country level, the scope of C4D programming has been much wider, with important C4D investments made across all areas of UNICEF's work. UNICEF response to the recent Ebola crisis has depended heavily on the use of C4D, especially in organising programme response in the affected countries.

C4D Strategies, Capacity Development and Implementation Quality Benchmarks

Following its inception in 2008, the C4D Technical Unit led the development of two frameworks to lay a comprehensive foundation for organising and enhancing the C4D function and work within UNICEF. The two frameworks are the **UNICEF C4D Strategic Framework 2008–11** and the **UNICEF C4D Capability Development Framework (C4D-CDF)**. Both frameworks have provided direction and served as a reference for C4D related action at all levels, including programmatic and capacity development priorities. In 2009, an organisational **Position Paper on C4D** further clarified the role and contribution of C4D to UNICEF's development and humanitarian programming. The proposed evaluation will draw heavily on all three documents.

Both the UNICEF C4D Strategic Framework and Position Paper on C4D have highlighted that staff members from all areas in the organisation need to be adequately equipped with customised knowledge and tools to promote C4D in the development to drive behaviour and social change to advance the rights of children and their communities, and to demonstrate UNICEF's leadership in this area. The C4D Capability Development Framework (C4D-CDF) has elaborated on this further, identifying and providing guidance for the development of key competencies in C4D. Informed by a series of capacity assessments between 2006 and 2008, the framework has responded to a strong need among UNICEF staff members to enhance C4D related knowledge and skills in research, design and evaluation, as well as to create an enabling environment for allocation of resources.

In 2010, the Office of the Executive Director allocated \$1.5 million from thematic funds for capacity development in C4D which has enabled the development of various organisational learning platforms and resources; information and network mechanisms; as well as resource packs in areas such as for communicating with children, and research, monitoring and evaluation. Particular effort has gone into developing and running **UNICEF's learning programme on Communication for Development (C4D)** in partnership with Ohio University (Ohio Course). The course aimed to 'build a critical mass of development professionals in UNICEF who are equipped with relevant knowledge, skills and tools to address socio-cultural determinants of UNICEF programmes and humanitarian actions through the use of C4D'. Launched in April 2011, the course has provided competency-based blended learning opportunity to an average of 65 UNICEF staff members annually in 2011, 2012, 2013 and 2014. The participants were mainly UNICEF staff members responsible for the C4D components of programmes, either as C4D specialists (42%) and External Relations/ Communications Officers (20%), or as Programme Specialists from Health, Nutrition, WASH, ADAP, Child Protection, Education, Planning, M&E and Emergencies (28%).

A complementary initiative is the launch of the **UNICEF learning course entitled 'Advances in Social Norms'** implemented through University of Pennsylvania (UPenn Course) starting in 2011 as a collaborative effort between Human Resources Division and Programme Division. The course developed in partnership with the University of Pennsylvania, USA aimed at providing UNICEF and partnering UN staff with the necessary knowledge, understanding, conceptual and practical tools, to address social norms and achieve social change for children in a variety of environments and cultures. The course examines social norms in the context of societal factors that drive inequities and fuel behaviours and practices that result in discrimination and deprivations and provides participants with tools that can effectively address social norms within the framework of human rights approach to programming. Communication for effective social change is one of the five main inter-linked themes of the learning course. The learning course has been offered annually since 2011 and it has evolved over time based on participant feedback. A total of 260 UNICEF staff from various programme areas have participated in the course.

Over the past years, C4D capacity building has been integrated in organisational priorities, processes and documents such as Situation Analysis, PPM, CPDs, MORES; wider partnerships and collaborations with UN and other agencies; increased focus on information knowledge management (IKM) and creation of a C4D community of practice; as well as competency development of UNICEF staff through a range of training and learning offerings beyond the Ohio course.

In addition, UNICEF has made significant investments in recent years in gathering and disseminating evidence and lessons from C4D programming in various contexts, including through collaboration with global partners and leaders in this area of work. This work has culminated in formulating a number of **benchmarks** for assessing the quality of C4D programme implementation.

Benchmarks to Gauge the Quality of C4D Implementation

Six benchmarks have been developed to guide C4D implementation in the field and to serve as self-assessment checks. Information gleaned from the benchmarks is intended to feed into strategic planning for C4D.

1. C4D strategies are integrated within the country programme structure and results framework; and sectoral/cross-sectoral plans with budget allocations.
2. New or existing C4D task forces/working groups/committees of multi-sectoral stakeholders (governmental, non-governmental and academic) are established and functioning to plan, coordinate and strengthen C4D activities.
3. C4D plans/interventions are informed by, use and monitor data and evidence on behavioural and socio-cultural factors as well as media and communication contexts.
4. Participatory processes are used to engage community representatives and members (girls, boys, men and women especially those from marginalised/excluded groups) into sector programmes/interventions.
5. Plans/initiatives/ongoing programmes to strengthen C4D capacities of UNICEF staff, partners and counterparts are established at national and subnational levels.
6. C4D best practices, impact assessments, tools, resources, innovations and lessons learnt are documented and disseminated among key audiences.²⁶⁷

While the benchmarks serve as a basis for planning and assessing quality of C4D programming, the measurement and assessment of outcomes from C4D interventions is a challenging undertaking as it requires measuring sectoral results to which C4D contributes. This also requires sector-specific focus and use of specific outcome and impact indicators. Considerable work has taken place in providing guidance for monitoring and evaluation C4D initiatives. A major initiative in this respect is the United Nations Inter-agency Resource Pack on Research, Monitoring and Evaluation in C4D (2011) to which UNICEF made significant contributions. Based on an extensive literature review and consultations, the resource pack provides good examples of research, monitoring, and evaluation in C4D within the UN context including a focus on impact assessment. There is a need for UNICEF to examine the extent to which programmes are sound in terms of their results-based orientation and their M&E strength in C4D to determine their feasibility for impact evaluations in the coming years.

2. Evaluating C4D Capacity and Action in UNICEF

A corporate decision was made in 2013 to externally evaluate C4D in UNICEF and to include this topic in the corporate evaluation plan. Subsequently a consultative process followed to scope the evaluation including an assessment of what could be evaluated given data, time and budget limitations to produce a report that would be forward looking and useful to strengthen UNICEF's C4D capacity, field level actions and results. Through this process, it was determined that the evaluation will focus on three main components:

a) C4D capacity development including the adequacy of C4D approach/strategies and their integration in country programs; outcomes of the key learning initiatives especially the C4D and

²⁶⁷ C4D Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014–17, Draft of June 2014.

Social Norms Course; and establishment of organizational systems, structures, processes and the relevant policies, guidance, tools required for mainstreaming C4D in all relevant areas of UNICEF's work. The evaluation will also document UNICEF's role and comparative advantage in undertaking external capacity development and propose the way forward for strengthening C4D partnerships at all levels.

b) UNICEF action at the field level – in development as well as emergency contexts – for mainstreaming C4D in UNICEF programs, i. e. effective C4D programming. This component will be assessed to a large extent based on the six benchmarks listed above for assessing C4D implementation quality at the field level.

c) The evaluation will not explicitly assess the outcomes of C4D interventions but will include an assessment of the evaluability of results (outcomes and impact) flowing from C4D interventions and outline options for evaluation of such results in the coming years. Assessing results from C4D interventions requires a much broader and ambitious evaluation with focus on sector-specific data. Such evaluation could be considered during the implementation of the second half of the Strategic Plan.

Evaluation objectives and use

UNICEF is regarded as one of the lead agencies in promoting and using C4D as a cross-cutting programme strategy to realise the MDGs and children's rights. In recent years, especially since 2009, UNICEF has made significant investments on its own institutional capacity development and in addition it has also played an important role in international and national level capacity development while working with a variety of partners and stakeholders. As C4D is still evolving in UNICEF, there is a need to assess the outcomes of the capacity development efforts and experience gained in terms of effective C4D programming in recent years. The findings of the evaluation will generate credible and forward looking evidence which will guide UNICEF's future C4D work and partnerships in implementing the 2014–17 Strategic Plan and country programmes. The evidence from the evaluation and its recommendations will feed into the MTR of the 2014–17 Strategic Plan and in the formulation of an updated C4D strategy / framework and related guidance. The evaluation will also help determine UNICEF's particular comparative advantage so as to inform UNICEF's engagement in the wider development communication community, and effectively position itself for C4D related contributions to advance the post 2015 sustainable development agenda and children's rights in the coming years.

The purpose of the evaluation is to generate credible and useful evidence regarding the requirements for successful implementation of C4D approaches in order to guide and strengthen UNICEF's future action and results in this area.

The main objectives of the evaluation are as follows:

- Assess the relevance, efficiency and effectiveness of UNICEF's capacity development strategies and interventions relating to C4D in terms of a) developing individual knowledge and competences and b) enhanced institutional capacities; and identify the factors driving or constraining effectiveness;
- Assess the extent to which and how appropriately C4D functions have been integrated into UNICEF offices and programmes ('mainstreamed'); the extent to which UNICEF has

achieved adequate and consistent coverage of C4D capacity in relation to programme requirements; and the extent to which the implementation of C4D approaches has been supported or constrained by available capacities;

- Assess how relevant C4D related planning and implementation (including through use of proposed benchmarks) has been to the country/programme needs/context and beneficiary needs and demands; how far they have taken account of cross-cutting issues, notably gender equality; and identify factors driving or constraining the relevance of C4D-related planning and programming;
- Review C4D related performance monitoring, knowledge management and assess the evaluability of results (outcomes, impact) achieved through programmes using C4D interventions and the likely sustainability of those results;
- Based on evidence gathered, provide clear conclusions and recommendations for policy and management decisions to further institutionalise C4D in UNICEF and strengthen its contribution to country programme results within the context of UNICEF's overall commitment to equity.

3. Evaluation Scope

The evaluation will cover the period from 2010 to 2014 with greater focus on the past 3 years. It will be forward looking (formative) in nature, i.e. suggesting avenues for sustaining gains, identifying new opportunities and addressing challenges in fully institutionalising and mainstreaming C4D in UNICEF's work at all level. The evaluation questions will be organised around the evaluation criteria of effectiveness, relevance/appropriateness, efficiency and sustainability and also address specific cross-cutting issues, giving specific attention to gender equality. The main evaluation questions are as follows:

- How coherent and appropriate is UNICEF's organisational C4D Capacity Development Framework (2011–14)? How appropriate are specific strategies and interventions including the learning programme implemented through Ohio University and the Social Norms Course (UPenn course)? Are they relevant to all sectors? How adequate is UNICEF's global strategy/guidance on C4D including **cross-cutting** aspects related to human rights, gender equality and equity and their integration in the sectoral strategies?
- To what extent have the results (goals and objectives) of UNICEF's organisational C4D Capacity Development Framework been realised and what conditions / factors have led to the achievement of results in terms of capacity strengthening? How far have C4D capacity development initiatives – including the learning programme implemented through Ohio University and the Social Norms Course – been relevant, efficient and effective?
- How far has C4D been integrated into UNICEF's systems, structures and procedures at each level? Is the level of integration and coverage sufficient and consistent enough to meet

programming requirements for countries in various settings including middle-income countries and those in emergencies?

- How efficient are the C4D capacity development interventions by using cost-effective options in design / implementation? Are there other efficiency issues (including processes involved, quality of outputs) that compromise C4D capacity development results and their sustainability and scale up? Are there any factors – technical, institutional, financial -- that undermine the sustainability of results achieved from capacity development interventions?
- What has been the experience of implementing C4D approaches at the country level especially in countries which have invested relatively heavily in both C4D capacity development and programme components (to be assessed based on a selection of selected country case studies and focusing on 3–4 sectors that will be identified during the inception phase)? What are the pathways to effective C4D programming at the country level including those related to the principles of participation and empowerment?
- To what extent have the benchmarks for C4D implementation been applied? How sound and strong is M&E work and What conclusions can be drawn regarding the quality of C4D programming and the potential for assessing C4D intervention impact in various settings?
- What is UNICEF's experience and what key lessons can be drawn from the use of various strategies and interventions for strengthening C4D capacity of counterparts at the national, regional, global levels?
- What conclusions, lessons and recommendations can be drawn for the future, to the extent required, (a) for better capacity development; (b) for stronger and systematic 'mainstreaming' of C4D; (c) for improved implementation; (d) for stronger planning, monitoring and management of C4D activities; and (e) for conducting rigorous outcome and impact evaluations of results to which C4D interventions have contributed.

The evaluation questions will be further detailed through the consultation during the inception phase of the evaluation.

4. Evaluation Approach and Methodology

Conceptual framework and benchmarks:

The evaluation scope covers an examination of the both what and how (i.e. the theory as well as the practice) aspects of C4D capacity and programming in UNICEF. Assessing the effectiveness of C4D capacity development will require looking at appropriate approaches to assessing capacity development (focusing both on process and results); UNICEF's *Capability Development Framework*; and use of relevant capacity development benchmarks. The evaluation will consider the pathways to change / results chain in C4D Capacity Development Framework and assess the extent to which the planned results are realised. An explicit design for assessing the Ohio University learning programme and the Social Norms Course (UPenn

Course) will be formulated during the inception phase which will consider the objectives of the course, process used and results achieved.

As a starting point, the evaluation will consider the framework / theory of change used for C4D capacity development in UNICEF and assess its adequacy. The evaluation will also consider other relevant frameworks and develop a broad-based conceptual framework which will be applied in assessing C4D capacity development in UNICEF.²⁶⁸ It is envisaged that the evaluation will need to adopt a broad-based view of capacity development which considers several levels: a) the enhancement of individual/group – level skills, knowledge, competencies; b) the establishment, at each organisational level, of necessary organisational structures, processes and systems and the relevant policies, guidance, tools; c) the provision of adequate resources and resource mobilisation strategies.

The second main component of the evaluation concerns examination of mainstreaming of C4D at all levels of the organisation in various contexts and results in terms of effective programme implementation. The starting point for evaluating this component will be to consider the six benchmarks that have been proposed for assessing success in C4D implementation at the field level. These benchmarks will be adjusted or expanded with additional benchmarks and indicators that might be identified based on further literature review and consultation during the inception phase. Effective C4D programming will consider the use of RBM and HRBAP, and equity principles; and aspects related to integration of C4D in various programme areas and the potential for generating C4D results (outputs and potential outcomes).

The third component of the evaluation, assessment of the evaluability of C4D results and their sustainability will be based on a review of recent literature and example of relevant literature and its application to C4D. The main parts of an evaluability assessment include the conceptual thinking and programme theory of change; clarity of strategies and interventions; adequacy of the results framework; use of appropriate indicators for programme/results monitoring, and the provisions made for qualitative and quantitative data including allocation of adequate technical and financial resources.

Phases of the evaluation:

- Preparation and team recruitment
- Inception phase (detailed scoping and methodology, evaluation framework/indicator development, data collection tools)
- Data collection (interviews, surveys, visits to case study countries)
- Analyses and reporting
 - Country case study reports (4–5, to be determined during the inception phase)
 - Main Evaluation Report (Main Volume with Annexes)

²⁶⁸ For instance, a recent World Bank publication *Guide to Evaluating Capacity Development Results* makes the following proposition 'Capacity development entails the purposeful use of knowledge and information to achieve capacity outcomes. These outcomes enable local agents of change to trigger or advance positive changes that contribute to the achievement of a particular development goal. Understanding the 'program theory' or 'program logic' underlying a capacity development intervention is a critical early step for discovering or telling a capacity development results story.' (World Bank, 2012: p. 12)

- Dissemination and utilization

Data sources:

During the inception phase, a detailed evaluation matrix will be developed which will specify relevant indicators and data sources that will be used for gathering information at each organisational level. Data collection will occur in two stages. In the first phase data will be collected through desk reviews, interviews (at HQ and RO levels) and a brief questionnaire to UNICEF country offices to gauge the depth of C4D programming and the extent to which the CO is involved in learning and capacity development initiatives and C4D programming. This phase will be used to identify countries (4–5) which will be included for short case study field visits and countries (20–25 countries) which will be included for extensive desk review and analysis. The inception report will provide a clear justification for the countries to be sampled.

During the second phase, it is envisaged that data collection will involve the following main sources:

- a) Interviews with headquarters and regional staff and counterparts in partner agencies including the two universities which are involved in the C4D learning programme.
- b) An in-depth desk review of key programme documents, a detailed questionnaire-based survey of and follow-up phone interviews with selected staff of 20–25 country offices which will be sampled based on an appropriate sampling strategy which allows assessment of C4D capacity development and effective programming in various country/programme contexts.
- c) Short field visits to 4–5 countries for in-depth assessment of C4D programming and how capacity development has contributed to effective programming. The country case studies (4–5 countries) will allow an assessment of the extent to which C4D capacity development and other inputs have translated into effective C4D programming at the country level. Data collection at the field level will involve review of programme documents and annual reports, key informant interviews, focus group discussions with service providers including implementing counterparts and observation visits to selected project sites to assess the local level implementation of key C4D initiatives.
- d) In addition, a short survey based on emerging findings may be administered to test how far findings are meaningful more widely across the organisation and how far they may be generalised.

The methods suggested above are indicative. In the inception report, the evaluation team will have the flexibility to suggest innovative data collection and analytical methods that can be adapted to conduct the evaluation.

Analysis and reporting:

Data analysis and reporting will take place in three stages. The first stage will be the analysis of data from the desk review, interviews (HQ and ROs) and survey data and drawing relevant findings and conclusions. The second phase will involve analysis of data gathered from the case study countries and preparation of brief country-specific reports. The third phase will involve

synthesis of the findings from the entire exercise including those coming from the analysis of data from 20–25 desk review countries and formulation of the main evaluation report which responds to evaluation objectives and questions.

5. Management Arrangements

Evaluation Management Structure: The evaluation will be conducted by an external evaluation team recruited by UNICEF’s Evaluation Office in New York. The Evaluation Team will operate under the supervision of a dual-tiered evaluation management and oversight structure. Direct supervision is provided by a Senior Evaluation Officer at UNICEF’s Evaluation Office (EO), supported by an Evaluation Specialist. The EO will be responsible for the day-to-day implementation of the evaluation and management of the evaluation budget; ensure the quality and independence of the evaluation and guarantee its alignment with UNEG Norms and Standards and Ethical Guidelines; ensure the evaluation findings and conclusions are relevant and recommendations are implementable; and contribute to the dissemination of the evaluation findings and follow-up on the management response.

The advisory organ for the evaluation is the **Evaluation Advisory Group (EAG)**, bringing together a mix of UNICEF managers and advisors as well as outside experts (TBD). The EAG will have the following role: a) contribute to the conceptualisation, preparation, and design of the evaluation including providing feedback on the terms of reference, participating in the selection of countries for desk review, and providing feedback and comments on the inception report. b) provide comments and substantive feedback to ensure the quality – from a technical point of view – of the draft and Final Evaluation reports; c) assist in identifying UNICEF staff and external stakeholders to be consulted during the evaluation process; d) participate in review meetings organised by the EO and with the evaluation team as required; e) play a key role in learning and knowledge sharing from the evaluation results, contributing to disseminating the findings of the evaluation and follow-up on the implementation of the management response.

Evaluation Team

The evaluation will be conducted by engaging a committed and well-qualified team which possesses evaluation as well C4D subject matter expertise and related competencies required for a global evaluation. It is envisaged that the team will have the following profile:

One (1) senior-level **team leader** (P5 level) who has the following qualifications:

- A strong team leadership and management track record, as well as interpersonal and communication skills to help ensure that the evaluation is understood and used;
- Extensive evaluation expertise (at least 12 years) with strong mixed-methods evaluation skills and flexibility in using non-traditional and innovative evaluation methods;
- A strong commitment to delivering timely and high quality results, i.e. credible evaluations that are used;
- Extensive technical and practical development expertise, and familiarity with UNICEF’s country-level operations;
- In-depth knowledge of the UN’s human rights, gender equality and equity agendas;
- Solid understanding of communication for development as a practice area;

- Specific evaluation experience in the communication for development area is strongly desired, but is secondary to a strong mixed-method evaluation background so long as the C4D expertise of the team members (see below) is harnessed to boost the team's collective understanding of issues relating to development communication;
- Commitment and willingness to work in challenging environments and independently, with limited regular supervision;
- Good communication, advocacy and people skills; ability to communicate with various stakeholders and to express concisely and clearly ideas and concepts in written and oral form;
- Language proficiency: Fluency in English is mandatory; good command of French and/or Spanish.

The team leader will be responsible for undertaking the evaluation from start to finish and for effectively managing the evaluation team, for the bulk of data collection and analysis, as well as report drafting in English.

One (1) **Evaluation Expert** (P4 Level) with the following credentials:

- Significant experience in evaluation, applied research or M&E with exposure to communication for development programmes (at least 8 years relevant experience) and/or to evaluation of capacity development initiatives;
- Hands-on experience in collecting and analysing quantitative and qualitative data;
- Familiarity with UNICEF's programming and advocacy work (would be an asset);
- Commitment and willingness to work in a challenging environment and ability to produce quality work under limited guidance and supervision;
- Good communication, advocacy and people skills; ability to communicate with various stakeholders and to express ideas and concepts concisely and clearly in written and oral form;
- Language proficiency: Fluency in English is mandatory; good command of French and/or Spanish is desirable.

The evaluation expert will play a major role in data collection and analysis, and will make significant contributions to report writing.

Two (2) **Analysts** (P1/2 Level, part-time involvement) who have the following qualifications:

- **Research Analyst:** At least 3 years of progressively responsible experience in both qualitative and quantitative data analysis methods;
- Experience in supporting senior evaluator in ensuring use of consistent interview protocols, templates for recording and reporting on interviews, standard case study report formats and a comparative table of findings;
- Familiarity with communication for development.
- **Data & Systems Analyst:** At least 3 years of progressively responsible experience in IT systems and data management;
- Expertise in handling collaborate teamwork software, in database management and knowledge management for evaluation;
- Commitment and willingness to handle back-office support, assisting the team with logistics and other administrative matters, is also expected.

The team on the whole is expected to be balanced with respect to gender, origin (developed/developing countries) and linguistic capacity (English/French/Spanish must be

covered). The evaluation team should demonstrate a firm grasp of the ethical issues associated with working with children and of the recognition that the safety and welfare of rights-holders is paramount.

Deliverables

The evaluation is expected to be completed between July 2015 and June 2016.

The main deliverables include the following:

- An inception report (20–30 pages plus annexes);
- Country case study reports on effective C4D programming (4–5 reports; 20–25 pages each);
- An evaluation report (60–70 pages plus annexes) including an Executive Summary (5 pages);
- An evaluation brief on key findings, conclusions and recommendations (4 pages) for broad distribution;
- A PPT presentation of key findings, conclusions and recommendations.

6. Timeframe

Date	Milestone
Jan-February 2015	Finalisation of TOR; Issuance of call for Expressions of interest
April 2015	Issuance of Request for Proposals to selected firms
July 2015	Recruitment of evaluation team
August/September 2015	Inception phase; Report finalised by early October
October – January 2016	Data collection and analysis <ul style="list-style-type: none"> - Review of C4D training and learning programmes, as well as strategies and systems - Desk review - Short country case studies
February – April 2016	Drafting of the evaluation report
May/June 2016	Draft review and revision
End June 2016	Final report submission

Annex 2: Evaluation matrix

Evaluation questions and sub-questions	Indicators	Data sources	Data collection and analysis methods
Focus area A. CAPACITY DEVELOPMENT			
EQ 1. How coherent and appropriate is UNICEF's organisational C4D Capacity Development Framework?²⁶⁹			
1.1 How well does the CD framework respond to UNICEF's C4D capacity needs?	<ul style="list-style-type: none"> Alignment between CD framework and outcomes of the 2006 and 2008 capacity needs assessments 	<ul style="list-style-type: none"> CD Framework; 2006 and 2008 capacity needs assessments Stakeholders at HQ: C4D Section, OLDS 	<ul style="list-style-type: none"> Document review Key informant interviews (KIIs)
1.2 To what extent does the CD framework provide a clear vision and strategic direction to C4D capacity development efforts?	<ul style="list-style-type: none"> CD framework underpinned by clear theory of change CD framework includes clear and measurable goals and objectives Components of CD framework aligned and support each other 	<ul style="list-style-type: none"> CD Framework Stakeholders at HQ: C4D Section, OLDS Stakeholders at RO: regional C4D advisors Stakeholders at CO: C4D staff 	<ul style="list-style-type: none"> Document review KIIs
1.3 To what extent has the CD framework evolved in response to changing needs / demands and learning?	<ul style="list-style-type: none"> Revision of CD Framework in response to internal and external needs/demands Revision of CD Framework in response to learning 	<ul style="list-style-type: none"> CD Framework; C4D Strengthening Initiative; C4D Vision and Policy 2014–17 Stakeholders at HQ: C4D Section, OLDS Stakeholders at RO: regional C4D advisors 	<ul style="list-style-type: none"> Document review KIIs
EQ 2. How effective has UNICEF's technical guidance²⁷⁰ on C4D been in providing support and direction to those involved in C4D programming? How effectively does it integrate cross-cutting issues such as human rights, gender equality and equity?			
2.1 To what extent does the technical guidance provide a comprehensive package of support on C4D?	<ul style="list-style-type: none"> Number, sector, geography of C4D technical guidance produced Evidence of gaps in coverage (sector, issue, geography etc.) 	<ul style="list-style-type: none"> Technical guidance reports / document Stakeholders at RO: regional C4D advisors Stakeholders at CO: C4D advisors, technical advisors involved in programmes with C4D components 	<ul style="list-style-type: none"> Document review KIIs Survey C4D staff
2.2 To what extent is the guidance used and has it contributed to changes in practice? Why / Why not?	<ul style="list-style-type: none"> Evidence that technical guidance being read/used Evidence of technical guidance contributing to improved knowledge and skills 	<ul style="list-style-type: none"> Stakeholders at RO: regional C4D advisors Stakeholders at CO: C4D advisors, technical advisors involved in programmes with C4D components 	<ul style="list-style-type: none"> KIIs Survey of C4D staff

²⁶⁹ UNICEF does not have a single strategy or framework for C4D capacity development, however the Terms of Reference highlight the following documents as key: UNICEF C4D Strategic Framework 2008–11; UNICEF C4D Capability Development Framework (C4D-CDF); Position Paper on C4D. During the inception phase it was confirmed with the C4D Section that these constitute the C4D capacity development framework

²⁷⁰ The definition of Technical Guidance used in the evaluation is: written documentation such as: toolkits, guides, and manuals.

	<ul style="list-style-type: none"> • Evidence that technical guidance contributing to changes in practice • Barriers and enablers of use and changes to practice 		
2.3 Has the guidance been integrated with other capacity development initiatives such as training?	<ul style="list-style-type: none"> • Extent to which technical guidance referenced in material from other capacity development interventions 	<ul style="list-style-type: none"> • Technical guidance reports / document; material from other CD initiatives • Stakeholders at HQ: C4D Section, OLDS • External stakeholders: Designers of CD initiatives • Stakeholders at RO: Regional C4D advisors • Stakeholders at CO: C4D advisors 	<ul style="list-style-type: none"> • Document review (using checklist) • KIIs
2.4 How effectively does the technical guidance integrate cross-cutting issues such as human rights, gender equality and equity?	<ul style="list-style-type: none"> • Level of integration of human rights in technical guidance documents • Level of integration of gender equality in technical guidance documents • Level of integration of participatory approaches into technical documentation • Level of integration of approaches to towards the inclusion of people with disabilities 	<ul style="list-style-type: none"> • Technical guidance reports / documents 	<ul style="list-style-type: none"> • Document review using template for assessing integration of cross-cutting issues
EQ 3. To what extent have the overall results (goals and objectives) of UNICEF's organisational C4D Capacity Development Framework been realised?²⁷¹ What factors have supported / hindered the achievement of results in terms of capacity strengthening?			
3.1 To what extent have staff at regional and country levels improved their knowledge and skills to design and implement C4D programmes, and to what extent do they put these into practice? What have been the enablers / barriers to this?	<ul style="list-style-type: none"> • Improvement in knowledge and skills to design and implement C4D programmes • Evidence of skills being put into practice • Barriers / enablers of improvements in knowledge, skills and practice 	<ul style="list-style-type: none"> • Stakeholders at RO: Regional C4D advisor / focal point, past participants of C4D CD initiatives • Stakeholders at CO: Section chiefs, C4D advisors/focal points, technical leads/specialists, Deputy Country Representative, communication specialists, facilitators / trainers of C4D CD initiative 	<ul style="list-style-type: none"> • KIIs • Survey of C4D staff

²⁷¹ There is no formal overall goals and objectives for UNICEF's organisational capacity development framework. The evaluation team therefore extracted the outcomes from the C4D Strategic and Plan for Action 2008–12 that are capacity development focused, and has assumed these are the best representation of what the goals and objectives of UNICEF's C4D capacity development efforts were. This understanding was discussed and validated with staff from the C4D Section and the EAG. The evaluation team have identified five overarching objectives. These are represented as sub-evaluation questions in the evaluation matrix. They are also reflected in the theory of change as the five outcomes under capacity development.

3.2 To what extent have networks and relationships between staff at global, regional and country level and external experts / partners been established that provide support / facilitate the sharing of learning on C4D? What have been the enablers / barriers to this?	<ul style="list-style-type: none"> Accountabilities and responsibilities across different levels established and understood Oversight, support and learning taking place between HQ, RO and CO Strength, diversity and effectiveness of relationships with external experts / partners at HQ, RO and CO levels Barriers / enablers of support and learning between levels 	<ul style="list-style-type: none"> Stakeholders at HQ: C4D Section, Sector sections Stakeholders at RO: Regional C4D advisor / focal points Stakeholders at CO: C4D advisors/focal points, national partners 	<ul style="list-style-type: none"> KIIs Survey of C4D staff
3.3 To what extent do core organisational policies and processes at the global level support the integration of C4D in programmes?	<ul style="list-style-type: none"> Level of integration of C4D in core UNICEF policies and processes (e.g. MORES, guidance on SitAnalysis, guidance on CPDs, UNDAF etc.) 	<ul style="list-style-type: none"> Core policies and process associated with planning and reporting including: PPPM, MORES, CPD templates and guidance etc. Stakeholders at HQ: C4D Section, Field Results Group, Data, Research and Policy Division Stakeholders at RO: Regional C4D advisor / focal Points Stakeholder at CO: Section chiefs, C4D advisors/focal points, Deputy Representatives 	<ul style="list-style-type: none"> Document Review KIIs
3.4 To what extent have C4D champions been created among senior managers at the global, regional and country level?	<ul style="list-style-type: none"> Senior managers see value of C4D Senior managers publicly communicate support for C4D Senior managers allocate resources to C4D 	<ul style="list-style-type: none"> Stakeholders at HQ: Division Directors, Associate Directors Stakeholder at RO: Regional and Deputy Regional Director, regional C4D advisor / focal point, Chief of Communications Stakeholder at CO: Country and Deputy Country Representative, section chiefs, C4D advisors/focal points, technical leads/specialists, Directors of communications, communication specialists 	<ul style="list-style-type: none"> KIIs Survey of C4D staff

EQ 4. To what extent were the C4D capacity development initiatives²⁷² relevant?

For each capacity development initiative:

To what extent did the initiative respond to a defined need and demand?	<ul style="list-style-type: none"> • Learning objectives of the initiative responded to a clear need within UNICEF • Initiative relevant to participant's contexts • Initiative has sufficient focus on practical application 	<ul style="list-style-type: none"> • Course planning documents eg needs assessment, concept notes, programme structure • Stakeholders at HQ: C4D Section, Human resources /OLDS • External stakeholders: Facilitators/trainers on C4D CD courses; managers of C4D CD initiatives • Stakeholders at RO: Regional C4D advisor / focal point, Past participants of C4D capacity development • Stakeholders at CO: C4D advisors/focal points, Past Participants of C4D capacity development 	<ul style="list-style-type: none"> • Document review • KIIs • Survey of C4D staff
Did the initiative engage the right people?	<ul style="list-style-type: none"> • Clear set of criteria for participant selection • Alignment of past participants with selection criteria 	<ul style="list-style-type: none"> • Entry criteria and participants lists • Stakeholders at HQ: C4D Section, Sector sections, Human resources /OLDS, facilitators/trainers on C4D capacity development courses • Stakeholders at RO: Regional C4D advisor / focal point, Past Participants of C4D capacity development • Stakeholders at CO: C4D advisors/focal points, Past Participants of C4D capacity development 	<ul style="list-style-type: none"> • Document review • KIIs
Was the structure of the initiative and the methods and approaches used appropriate to the audience and their learning needs?	<ul style="list-style-type: none"> • Learning methods aligned with learning needs • Mix of learning methods used to accommodate different learning styles and to support practical application 	<ul style="list-style-type: none"> • Capacity Development Course Material • Stakeholders at HQ: C4D Section, Sector sections, Human resources /OLDS, Facilitators/trainers/manager of C4D CD courses • Stakeholders at RO: Regional C4D advisor / focal point, Chief of Communications; Past Participants of C4D CD initiative • Stakeholders at CO: C4D advisors/focal points, Past Participants of C4D CD initiative 	<ul style="list-style-type: none"> • Document review • KIIs

²⁷² The core C4D capacity development interventions include: the UNICEF-Ohio University Learning Programme on C4D, University of Pennsylvania course on Social Norms, 3–5 in-country and on-the job learning workshops, C4D webinar series and C4D knowledge platforms and web-based resources.

EQ 5. To what extent have the C4D capacity development initiatives been effective?

For Ohio and UPenn courses, in-country workshops and webinars:

To what extent have the CD initiatives led to new knowledge and skills being acquired?	<ul style="list-style-type: none"> Change in level of knowledge and skills between 2010 and 2015 Contribution of CD initiatives to change in skills and knowledge 	<ul style="list-style-type: none"> Post-CD course / workshop evaluations Stakeholders at HQ: C4D Section, Human resources /OLDS Stakeholders at RO: Regional C4D advisor / focal point, Chief of Communications; Past Participants of C4D capacity development Stakeholders at CO: C4D advisors/focal points, Past Participants of C4D capacity development 	<ul style="list-style-type: none"> Document review KIIs Survey of C4D staff
To what extent has the CD initiatives led to new knowledge and skills being applied? What factors have supported or hindered successful application?	<ul style="list-style-type: none"> Change in level of practical application of C4D knowledge and skills between 2010 and 2015 Contribution of CD initiatives to change in skills and knowledge Barriers / enablers to practical application 	<ul style="list-style-type: none"> Stakeholders at RO: Regional C4D advisor / focal point, Past Participants of C4D capacity development Stakeholders at CO: C4D advisors/focal points, Past Participants of C4D CD initiatives 	<ul style="list-style-type: none"> Survey to C4D staff KIIs
In what ways has the CD initiatives influenced the quality of C4D delivery? What factors have supported or hindered this?	<ul style="list-style-type: none"> Perception of improved capacity influencing the quality of different C4D strategies (BCC, Social mobilisation, Social change communication, advocacy) and sectors (health, nutrition etc.) Barriers / enablers to improved capacity contributing to better quality C4D strategies 	<ul style="list-style-type: none"> Stakeholders at CO: Country and Deputy Country Representative, section chiefs, C4D advisors/focal points, technical leads/specialists, Directors of communications, communication specialists, facilitators / trainers on C4D capacity development course, National partners 	<ul style="list-style-type: none"> KIIs
<i>For the International knowledge Management (C4D Facebook page, C4D intranet site, network meetings, newsletter):</i>			
To what extent are the knowledge platforms used?	<ul style="list-style-type: none"> Web hits and downloads from facebook page and intranet site Attendees at Networks meetings Subscribers to Newsletter Perceived value of the platforms for knowledge 	<ul style="list-style-type: none"> Monitoring data from platforms Stakeholders at RO: C4D advisors/focal points, technical leads specialists Stakeholders in CO: C4d advisors/focal points, technical leads specialists 	<ul style="list-style-type: none"> Document review KIIs Survey of C4D staff
To what extent have the knowledge platforms helped create an internal community of practice between C4D practioners?	<ul style="list-style-type: none"> Extent of new relationships formed as a result of attending networking events 	<ul style="list-style-type: none"> Stakeholders at RO: C4D advisors/focal points, technical leads specialists Stakeholders in CO: C4d advisors/focal points, technical leads specialists 	<ul style="list-style-type: none"> Survey of C4D staff KIIs

	<ul style="list-style-type: none"> Subsequent use of networks to provide support on C4D 		
EQ 6. To what extent were concerns for <i>economy</i> and <i>efficiency</i> part of the design and implementation of the C4D capacity development interventions?			
Were issues of economy and efficiency considered as part of the design process?	<ul style="list-style-type: none"> Consideration given to different implementation strategies and their relative costs as part of the design process of CD initiatives Reach, quality and cost considered and effectively balanced as part of design of the CD initiatives 	<ul style="list-style-type: none"> Design Documents, concept notes, proposals Stakeholders at HQ: Designers of the CD initiative External stakeholders: Designers of CD initiative 	<ul style="list-style-type: none"> Document review KIIs at HQ and externals
Were economy and efficiency managed as part of the implementation process?	<ul style="list-style-type: none"> Synergies identified with other CD initiatives which reduce costs Cost driver identified and actively managed during implementation 	<ul style="list-style-type: none"> Stakeholders at HQ: C4D Section, Human resources /OLDS Stakeholders at CO: Section chiefs, C4D advisors/focal points, technical leads/specialists, Directors of communications, communication specialists 	<ul style="list-style-type: none"> KIIs at HQ, and CO
Are there economy or efficiency issues that have / could compromise sustainability and scale up of the CD initiatives?	<ul style="list-style-type: none"> Balance between cost, reach and learning quality of CD initiatives 	<ul style="list-style-type: none"> Budgets, Data on reach, data in effectiveness Stakeholders at HQ: C4D Section, Human resources /OLDS External stakeholders: Designers/managers of the CD initiative 	<ul style="list-style-type: none"> Document review KIIs
EQ 7. What is UNICEF's experience and what key lessons can be drawn from C4D capacity development initiatives of counterparts at the national, regional, global levels?			
What are the different strategies that have been used to strengthen C4D capacity among counterparts at the country level?	<ul style="list-style-type: none"> Strategies used to strengthen C4D capacity among counterparts at CO level, grouped by type, sector and country 	<ul style="list-style-type: none"> CD course material / agendas; participants lists etc. Stakeholders at CO: C4D advisors/focal points, technical leads, national partners 	<ul style="list-style-type: none"> Document review KIIs
What has been the experience of using these different strategies?	<ul style="list-style-type: none"> Positive experience of COs strengthening counterparts C4D capacity and reasons why Challenges experienced by COs in strengthening counterparts C4D capacity and reasons why 	<ul style="list-style-type: none"> Stakeholders at CO: C4D advisors/focal points, technical leads, national partners 	<ul style="list-style-type: none"> KIIs

EQ 8. What are the factors that could undermine the sustainability of the results that have been achieved from the capacity development interventions?

No sub-question required	<ul style="list-style-type: none"> • Technical factors undermining C4D gains • Organisational factors undermining the sustainability of C4D capacity • Financial factor undermining the sustainability of C4D capacity 	<ul style="list-style-type: none"> • Stakeholders at HQ: C4D Section • Stakeholders at RO: Regional C4D advisor / focal point • Stakeholders at CO: C4D advisors/focal points, technical leads 	<ul style="list-style-type: none"> • KII
---------------------------------	---	--	---

Focus area B. INTEGRATION

EQ 9. How far has C4D been integrated into office structures, strategies, plans and resourcing at global, regional and country level?

Global

How integrated is C4D into the 2014–17 MTSP and associated reporting?	<ul style="list-style-type: none"> • Level of integration of C4D in 2014–17 MTSP • Level of reporting on C4D in Annual Report of the Executive Director 	<ul style="list-style-type: none"> • 2014–17 MTSP; Annual Report of the Executive Director 2014 & 2015 • Stakeholders at HQ: Data, Research and Policy Division and C4D Section 	<ul style="list-style-type: none"> • Document review using Integration Assessment Framework • KII
How has this changed since the last MTSP (2008–13) and what are the implications of these changes?	<ul style="list-style-type: none"> • Level of integration of C4D in 2008–13 MTSP • Level of reporting on C4D in Annual Report of the Executive Director • Change in level of integration and reporting between two MTSP periods • Reported implication of changes 	<ul style="list-style-type: none"> • 2014–17 MTSP and 2008–13 MTSP; Annual Report of the Executive Director 2014 – 2015 and 2008 – 2013 • Stakeholders at HQ: Stakeholders from Data, Research and Policy Division and C4D Section • Stakeholders at RO: regional C4D advisors • Stakeholders at RO: Deputy Representative 	<ul style="list-style-type: none"> • Document review using Integration Assessment Framework • KII
How has the integration of C4D into sector planning and reporting changed between 2010–15?	<ul style="list-style-type: none"> • Change in the level of integration of C4D in sector strategies between 2010–15 • Quality of the reporting on C4D 	<ul style="list-style-type: none"> • Sectoral strategies, Annual Plans and reports • Stakeholders at HQ: C4D Section, Data Research and Policy Division 	<ul style="list-style-type: none"> • Document Review using Integration Assessment Framework • KII
How have staffing arrangements for C4D staff at the global level changed between 2010–15?	<ul style="list-style-type: none"> • Change in the number and level of C4D staff at HQ level between 2010–15 (disaggregated by Section) 	<ul style="list-style-type: none"> • Data on staffing level (numbers and levels) • Stakeholders at HQ: C4D Section, technical leads 	<ul style="list-style-type: none"> • Document Review using Integration Assessment Framework • KII
How has funding for C4D changed at HQ level between 2010–15?	<ul style="list-style-type: none"> • Changes in the level of C4D funding between 2010–15 	<ul style="list-style-type: none"> • Resourcing plans, budgets • Stakeholders at HQ: C4D Section 	<ul style="list-style-type: none"> • Document review using Integration Assessment Framework • KII

Regional			
How has the integration of C4D into regional offices planning and reporting changed between 2010–15?	<ul style="list-style-type: none"> Existence of strategy and / or plan Quality of strategy and/or plan Budget exists to support implementation of the strategy / plan 	<ul style="list-style-type: none"> Regional C4D strategies / plans Stakeholders at RO: C4D advisors 	<ul style="list-style-type: none"> Document Review using Integration Assessment Framework KIIs
How have staffing arrangements for C4D staff at the regional level changed between 2010–15?	<ul style="list-style-type: none"> Changes in the number and level of C4D staff across regional offices between 2010–15 	<ul style="list-style-type: none"> Data on staffing level (numbers and levels) 	<ul style="list-style-type: none"> Document review using Integration Assessment Framework
Country			
To what extent is C4D integrated into the Situational Analysis, CPDs, and results frameworks at country level?	<ul style="list-style-type: none"> Level of integration of C4D in Situational Analysis Level of integration of C4D in CPD Level of integration of C4D in Results Frameworks 	<ul style="list-style-type: none"> Situational Analysis; CPD, results framework Stakeholders at CO: C4D staff, Deputy Representative 	<ul style="list-style-type: none"> Document review using Integration Assessment Framework KIIs
Are C4D strategies resourced?	<ul style="list-style-type: none"> Resourcing exists to support planned C4D strategies 	<ul style="list-style-type: none"> Resource plans, budgets Stakeholders at CO: Section chiefs, Deputy Representative, C4D advisors/focal points, 	<ul style="list-style-type: none"> Document review using Integration Assessment Framework KIIs
To what extent is C4D reported on through Annual Reviews, Mid-Term Evaluations and Final Report?	<ul style="list-style-type: none"> Level of integration of C4D in reporting 	<ul style="list-style-type: none"> Annual Reviews, Mid-Term evaluation and final reports Stakeholders at CO: Section chiefs, Deputy Representative, C4D advisors/focal points 	<ul style="list-style-type: none"> Document review using Integration Assessment Framework KIIs
How is the C4D function set up / managed and resourced at country level?	<ul style="list-style-type: none"> Structural configurations at country level Changes in staffing between 2010–15 	<ul style="list-style-type: none"> Stakeholders at CO: Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists, 	<ul style="list-style-type: none"> KIIs
EQ 10. Is the level of integration and coverage sufficient and consistent enough to meet programming requirements for different types of countries?			
Global			
Does the C4D Section have sufficient resources to setting standards, building partnerships, quality assure and provide capacity development?	<ul style="list-style-type: none"> Comparison between current capacity and formal roles and responsibilities on C4D Comparison between current capacity and 	<ul style="list-style-type: none"> Stakeholders at HQ: C4D Section, Sector sections, Human resources /OLDS, technical leads 	<ul style="list-style-type: none"> KIIs

	demand/need for services		
Regional			
Is the level of investment that has been made at the regional level sufficient to meet the needs and demands on C4D from COs within the region? What are the enablers / barriers to integration of C4D in the RO?	<ul style="list-style-type: none">• Comparison between current capacity and formal roles and responsibilities on C4D• Comparison between current capacity and demand/need for services• Enablers/barriers to integration	<ul style="list-style-type: none">• Stakeholders at RO: Regional and Deputy Regional Director, regional C4D advisor / focal point, Chief of Communications; communication specialists	<ul style="list-style-type: none">• KIIs
Country			
Given current levels of integration, is the C4D function at country office level able to provide support in the design, implementation, monitoring and evaluation of C4D strategies? What are the enablers / barriers to integration of C4D in the CO?	<ul style="list-style-type: none">• Comparison between current capacity and formal roles and responsibilities on C4D• Comparison between current capacity and demand/need for services• Enablers/barriers to integration	<ul style="list-style-type: none">• Stakeholders at CO: Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists	<ul style="list-style-type: none">• KIIs
EQ 11. What has been the experience of implementing C4D approaches at the country level especially in countries which have invested relatively heavily in both C4D capacity development and C4D programming?			
In those countries that have invested heavily in C4D, what has worked and what has not? Why?	No indicator needed	<ul style="list-style-type: none">• Stakeholders at CO: Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists• Stakeholders at RO: C4D advisor	<ul style="list-style-type: none">• KIIs
In what ways has investment in C4D capacity development influenced C4D implementation?	No indicators needed	<ul style="list-style-type: none">• Stakeholders at CO: Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists• Stakeholders at RO: C4D advisor	<ul style="list-style-type: none">• KIIs
EQ 12. To what extent have the benchmarks for C4D implementation been applied?			
Are there any common strengths and weaknesses in the implementation of benchmarks?	<ul style="list-style-type: none">• Utility of the benchmarks	<ul style="list-style-type: none">• Planning, Monitoring and Reporting, and evaluation documentation, Minutes from meetings, Agenda's from meetings etc.• Stakeholder at CO: Country and Deputy Country Representative, section chiefs	<ul style="list-style-type: none">• Document review using Benchmark Assessment Framework• KIIs

			C4D advisors/focal points, Directors of communications, communication specialists	
What are the factors which help explain implementation (or not) of the benchmarks?	<ul style="list-style-type: none">Enabling factors for the implementation of the benchmarks	<ul style="list-style-type: none">Stakeholders at CO: C Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists	<ul style="list-style-type: none">Document review using Benchmark Assessment FrameworkKIIs	
Based on the benchmarks, what conclusions can be drawn on the quality of C4D programming at country level?	<ul style="list-style-type: none">Evidence of quality C4D programming based on observations using the benchmarks	<ul style="list-style-type: none">Stakeholders at CO Country and Deputy Country Representative, section chiefs C4D advisors/focal points, Directors of communications, communication specialists	<ul style="list-style-type: none">Document review using Benchmark Assessment FrameworkKIIs	
Focus area C. EVALUABILITY				
EQ13. What is the potential for assessing C4D interventions impact in various settings in the future?				
For a sample of C4D interventions from across different contexts:				
Is it possible in principle to evaluate the contribution of C4D to the impact of the intervention?	<ul style="list-style-type: none">Underlying logic (theory of change) of the programme clearBehaviour changes, shifts in social norms, social mobilisation and/or advocacy clearly articulated in the programme logicCausal logic clear on how the C4D intervention contributes to behaviour change / social norms outcomes clear	<ul style="list-style-type: none">Design, monitoring and reporting, and evaluation documentation of an interventionStakeholders at CO: C4D advisors/focal points, technical leads/specialists, national partners	<ul style="list-style-type: none">Document review using Evaluability Assessment FrameworkKIIs	
Is it possible in practice to evaluate the contribution of C4D to the impact of the intervention?	<ul style="list-style-type: none">Specific data collected on the C4D activities and the behaviour changes and/or social norms that the programme aims to affectData is robust and credibleData is disaggregated (sex, gender, age group, ethnicity)Availability of baseline data or feasible plans for collecting them and with good qualityAppropriate capacity (staffing, skills, budget) in the programme management team to collect high quality data in the future	<ul style="list-style-type: none">Design, monitoring and reporting, and evaluation documentation of an interventionStakeholders at CO: C4D advisors/focal points, technical leads/specialists, national partners	<ul style="list-style-type: none">Document review using Evaluability Assessment FrameworkKIIs	

Annex 3: Methodology for selecting desk review and case study countries

Sampling strategy

Given the formative nature of the evaluation and thus the focus on generating evidence-based learning around C4D capacity development and mainstreaming, it was decided that the evaluation should focus on countries for desk review and country visits where there is a presence of C4D programming and where there have been efforts to develop C4D capacity. Our sampling strategy is informed by this design decision.

A two-step sampling process was used to select 20 countries for desk review and five for country visits.²⁷³

Step 1

The first step in the sampling process was to use three sampling criteria to filter out countries that lacked certain characteristics. These were considered minimum requirements for further consideration in the sampling process. These were:

- A reported presence of C4D expenditure;²⁷⁴
- Presence of C4D specific staff in country;²⁷⁵
- Participation in capacity development activities (the Ohio C4D course, UPenn Social Norms course, workshops, and webinars);

This led to a longlist of 73 countries being identified.²⁷⁶

Step 2

Step two involved shortlisting 25 countries from the long list. This selection was made based on weighing up the following sampling criteria:

- The number of C4D specific staff members and level of responsibility
- The cumulative expenditure on C4D between 2012–2014
- Numbers of current staff who have been on the Ohio C4D Course and the UPENN Social Norms Course and the level of participation in workshops and webinars at country level
- C4D staffing arrangements (countries that have dedicated C4D advisors; those where the communications person leads C4D activities; countries where C4D is a separate unit, countries where C4D is embedded in programmes.)

When making the final selection a number of other factors were also taken into account: gross national income, regional representation, and whether the country had recently been affected by an emergency. The evaluation team also took into consideration whether the country had been mentioned during inception phase interviews or in documentation made available to the team as possibly interesting. To balance the sample further and to ensure appropriate diversity of C4D staffing arrangements, two countries (Nicaragua and Ecuador) have been included that do not meet all of the criteria of step 1.²⁷⁷

The evaluation team have scoped out the additional budget that this would require and shared this with the Evaluation Department.

²⁷⁴ Expenditures statements for 2012–14 provided by UNICEF HQ 25/08/2016.

²⁷⁵ Master File C4D staffing 2006–14 provided by UNICEF HQ 22/08/2016

²⁷⁶ Afghanistan, Algeria, Angola, Azerbaijan, Bangladesh, Benin, Bhutan, Bosnia, Burkina Faso, Burundi, Cameroon, Central African Republic, Chad, Congo, DRC, Egypt, Eritrea, Ethiopia, Fiji, Gambia, Guatemala, Guinea, Guinea Bissau, Guyana, Haiti, India, Iraq, Indonesia, Iran, Jamaica, Jordan, Kenya, Kyrgyzstan, Lao, Lesotho, Liberia, Madagascar, Macedonia, Malawi, Maldives, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Nigeria, Pakistan, Guinea, Philippines, Rwanda, Senegal, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Swaziland, Syria, Tajikistan, Tanzania, Thailand, Togo, Turkey, Turkmenistan, Uganda, Ukraine, Uzbekistan, Vietnam, Yemen, Zambia, Zimbabwe

²⁷⁷ We took this step as it was emphasised by numerous stakeholders as part of the inception phase, that it was important for the evaluation to include a diversity of different C4D staffing structures.

In selecting which five countries to put forward for country visits, the decision was taken to ensure that within our selection there were countries that have received different levels of investment in C4D capacity development and have different management arrangements for the C4D function. This was done in response to initial EAG feedback on the draft country selection.

Sample selection

Based on the above sampling strategy, a list of 25 countries have been selected. These are detailed in the table below. The 20 that will be reviewed through desk reviews and the five for country visits are marked with 'X'. Detailed justifications for why each country has been selected can be found in the table on the following page.

Country	National income	Region	Desk review	Country visit
1. Azerbaijan	Middle-income country	CEE/CIS	X	
2. Kyrgyzstan	Lower-middle income	CEE/CIS		X
3. Turkey	Upper-middle income	CEE/CIS	X	
4. Myanmar	Lower-middle income	EAPRO	X	
5. Fiji	Upper-middle income	EAPRO	X	
6. Vietnam	Lower-middle income	EAPRO		X
7. Bangladesh	Lower-middle income	ROSA		X
8. India	Lower-middle income	ROSA	X	
9. Nepal	Low income	ROSA	X	
10. Sierra Leone	Low income	WCARO	X	
11. Liberia	Low income	WCARO	X	
12. Niger	Low income	WCARO	X	
13. Nigeria	Lower-middle income	WCARO		X
14. Chad	Low income	WCARO	X	
15. DRC	Low income	WCARO	X	
16. Kenya	Lower-middle income	ESARO	X	
17. Ethiopia	Low income	ESARO		X
18. Mozambique	Low income	ESARO	X	
19. Somalia	Low income	ESARO	X	
20. Sudan	Lower-middle income	MENA	X	
21. Egypt	Lower-middle income	MENA	X	
22. Jordan	Upper-middle income	MENA	X	
23. Ecuador	Upper-middle income	LACRO	X	
24. Haiti	Low-income country	LACRO	X	
25. Nicaragua	Lower-middle income	LACRO	X	

Country	Region	National Income	Expenditure 2012–14	Justification
1. Azerbaijan	CEE/CIS	Middle-income country	\$221,980	<ul style="list-style-type: none"> Limited C4D staff capacity (1 NO) Strong investment in capacity development (70 people trained through C4D workshops, 4 staff have attended C4D Ohio training course) Azerbaijan has been selected to represent the CEE/CIS region and it is a middle-income country
2. Bangladesh	ROSA	Lower-middle income country	\$4,922,907	<ul style="list-style-type: none"> Strong C4D staff capacity (1 P4 / 9 NOs) Strong investment in C4D capacity development (20 people trained through C4D workshops, 20 staff attended webinars, 3 staff attended Ohio course and 4 the UPENN course)
3. Chad	WCARO	Low income	\$12,532,960	<ul style="list-style-type: none"> Very strong C4D capacity (1 P-4, 4 P-3, 6 NO) Strong investment in capacity development (50 people trained through C4D workshops, 4 staff have attended the UPENN Social Norms Course, and 3 staff have attended the Ohio C4D course) Chad has been selected as a Francophone low-income country Chad is a country affected by humanitarian crisis

4. DRC	WCARO	Low income	\$11,531,728	<ul style="list-style-type: none"> • Very strong C4D staff capacity(1 P-4, 2 P-3, 10 NO) • Strong investment in capacity development (5 webinar participants, 1 UPENN Social Norms Course participant, 3 Ohio course participants) • The country has also seen a sustained investment in C4D between 2012 and 2015 • DRC is affected by humanitarian crisis
5. Ecuador	LACRO	Upper-middle income country	\$25,016	<ul style="list-style-type: none"> • Low staff capacity (C4D is organised around a consultant who works on health and protection) • No investment in capacity development (0 reported trained staff)
6. Egypt	MENA	Lower-middle income country	\$3,906,068	<ul style="list-style-type: none"> • Moderate staff capacity (1 p-4, 4 NO) • Moderate investment in capacity development (20 C4D workshop participants, 1 Ohio C4D course participants) • Egypt has been selected as a lower-middle income country • Egypt is affected by humanitarian crisis
7. Ethiopia	ESARO	Low income	\$3,906,068	<ul style="list-style-type: none"> • Moderate C4D staff capacity (1 P4, 4 NOs) • Strong investment in C4D capacity development (10 staff attended Ohio course, 3 webinar participants) • Recent changes in how C4D structured. Shift from Integrated C4D Section to C4D being embedded in programmes
8. Fiji	EAPRO	Upper-middle income country	\$740,750	<ul style="list-style-type: none"> • Low C4D staff capacity (1 NO) • Very strong investment in capacity building (60 C4D workshop participants, 10 C4D course participants)
9. Nepal	ROSA	Low income	\$454057	<ul style="list-style-type: none"> • Moderate staff capacity (1 p-5, 4 NO) • Moderate investment in capacity development (101 people have participated in C4D workshops) • Regional office
10. Haiti	LACRO	Low income	\$944,246	<ul style="list-style-type: none"> • Low staff capacity (2 NO) • Strong investment in capacity development (34 people participated in C4D workshops, and 3 people attended the Ohio course)
11. India	ROSA	Lower-middle income country	\$12,714,313	<ul style="list-style-type: none"> • Very high staff capacity (2 P-4, 21 NO) • Strong investment in capacity building (48 people have participated in C4D workshops, 7 people have attended the Ohio course) • The country has been mentioned in several key informant interviews in relation to WASH programming
12. Jordan	MENA	Upper-middle income	\$87743	<ul style="list-style-type: none"> • Moderate staff capacity (2 P-4, 1 NO) • Low investment in capacity building (50 people have attended C4D workshops, 1 person has participated in the Ohio C4D course) • Jordan is affected by humanitarian crisis • Recommended by the EAG
13. Kenya	ESARO	Lower-middle income	\$3,192,952	<ul style="list-style-type: none"> • Strong staff capacity (1 P-5, 4 P-4, 3 P-3, 5 NO) • Moderate investment in C4D capacity development (9 webinar participants, 4 UPenn Social Norms Course participants) • Regional Office • Kenya is affected by protracted humanitarian crisis
14. Kyrgyzstan	CEE/CIS	Lower-middle income	\$121,870	<ul style="list-style-type: none"> • Modest staff capacity (1 NO) • Moderate investment in capacity development (50 c4d workshop participants, 1 Oho course participants, 1 social norm course participant)
15. Liberia	WCARO	Low income	\$3,837,293	<ul style="list-style-type: none"> • Strong C4D staff capacity (1 P-4, 3 P-3, 4 NOs) • Moderate investment in C4D capacity development (1 staff member attended UPenn course and 10 staff attended webinars) • Heavily affected by the Ebola crisis in which UNICEF took a lead on C4D within the humanitarian response

16. Mozambique	ESARO	Low income	\$5,064,847	<ul style="list-style-type: none"> • Strong C4D staff capacity (1P-5, 2 P-3, 4 NO) • Strong investment in capacity development (7 webinar participants, 3 Ohio course participants) • Recommended in Key Informant Interviews
17. Myanmar	EAPRO	Lower-middle income country	\$888,903	<ul style="list-style-type: none"> • Moderate C4D staff capacity (1 P4 (now left) / 2 NOs) • Strong investment in capacity development (190 people trained through C4D workshops between 2010 and 2012, 4 staff attended the Ohio course and 2 the UPenn course) • Plans for Myanmar to provides C4D support to other countries in the region • Myanmar is affected by humanitarian crisis
18. Nicaragua	LACRO	Lower-middle income country	\$0	<ul style="list-style-type: none"> • Modest C4D staff capacity (A generalist communication specialist is in charge of C4D) • Moderate investment in capacity development (22 people have attended workshops, 2 have attended Ohio C4D course)
19. Niger	ESARO	Low income	\$3,418,630	<ul style="list-style-type: none"> • Strong C4D staff capacity (1 p-4, 1 p-3, 2 NO) • Strong investment in capacity development (108 people have participated in C4D workshops, 4 have attended the Ohio C4D course, 2 have attended the UPENN Social Norms Course)
20. Nigeria	WCARO	Lower-middle income	\$7,559,345	<ul style="list-style-type: none"> • Very strong C4D staff capacity (2 P-5, 3 P-5, 7 NO) • Very strong investment in capacity development (75 people have attended workshops, 33 people have participated in webinars, 16 people have participated in the C4D Ohio course, 2 people have attended the UPENN Social Norms Course)
21. Sierra Leone	WCARO	Low income	\$969,643	<ul style="list-style-type: none"> • Strong C4D staff capacity (1 P-4, 4 P-3, 4 NO) • Moderate investment in capacity building (10 people participated in workshops, 2 participated in the Ohio course, 1 participated in the UPENN course) • Heavily affected by the Ebola crisis in which UNICEF took a lead on C4D within the humanitarian response
22. Somalia	ESARO	Low income	\$12,106	<ul style="list-style-type: none"> • Strong C4D capacity (3 P-3, 2 NO) • Strong investment in capacity development (20 webinar participants, 6 Ohio course participants) • Recommended in a KII • Somalia is affected by a humanitarian crisis
23. Sudan	MENA	Lower-middle income	\$1,049,392	<ul style="list-style-type: none"> • Strong C4D staff capacity (1 P3, 12 NOs) • Strong investment in C4D capacity development (2 staff attended the Ohio course, 5 UPENN course, 5 have attended C4D workshops and 5 attended webinars) • Affected by humanitarian crisis
24. Turkey	CEE/CIS	Upper-middle income	\$18,003	<ul style="list-style-type: none"> • Modest staff capacity (1 NO) • Modest investment in capacity development (78 C4D workshop participant, 1 Ohio C4D course participant) • Recommended in in KII • The country is affected by humanitarian crisis
25. Vietnam	EAPRO	Lower-middle income country	\$284,481	<ul style="list-style-type: none"> • Moderate staff capacity (1 P-4, 3 NO) • Modest investment in capacity development (19 participants in capacity development workshops, 1 Ohio C4D course participant)

Annex 4: List of references

UNICEF documents

UNICEF (2006) Mid-Term Review of the 2006-2013 Mid-Term Strategic Plan, UNICEF, NY.

UNICEF (2008) C4D Strategic Framework 2008-2012, UNICEF, NY.

UNICEF (2008)) C4D Capability Development Framework, Gender Rights, and Civic Engagement Section, Division of Policy and Practice, UNICEF, NY.

UNICEF (2009) Concept Note: UNICEF Learning Course on Communication for Development, UNICEF, NY.

UNICEF ESARO (2012) Network Meeting PPT, Working Draft 11/5/2012 recommendations on the structure & delineation of roles for communication in UNICEF country offices.

UNICEF (2013) Evaluation of the Webinars, UNICEF C4D Unit, NY.

UNICEF (2014) Strengthening C4D in UNICEF for Enhanced Results for Children, 2015 -2017, Institutional Investment Options, v28.July.

UNICEF (2014) Stock-Take of C4D at UNICEF: Analysis and Recommendations, UNICEF C4D Section, New York, NY.

UNICEF (2014) Background Note: Strategic Directions on Communication for Development Capacity Development, 2014-17, UNICEF C4D Section, NY.

UNICEF (2014) C4D Communication for Development Strategic Vision and Policy Framework for Implementation of UNICEF's Strategic Plan 2014-2017, (draft June 28 2014) UNICEF HQ

UNICEF (2014) MNCHN Guide, C4D Guide, UNICEF, NY.

UNICEF's (2014) Strategic Directions on C4D Capacity Development, 2014-17, Background Note, C4D Section, UNICEF, NY.

UNICEF (2015) UNICEF Strategic Plan 2014-17: Evaluability Assessment, Final Report, Evaluation Office, July 2015, NY.

UNICEF (2015) Children, ICT and Development Capturing the Potential, Meeting the Challenges, UNICEF, NY.

UNICEF (2015) UNICEF Procedure for Ethical Standards in Research, Evaluation, Data collection and Analysis, 1 April 2015, DRP, UNICEF: New York.

UNICEF (2015) Global Communication and Public Advocacy Strategy, 2015, UNICEF

UNICEF ESARO (2015) C4D Regional Strategic Framework 2015-2017, February 2015;

UNICEF EAPRO (2015) Communication for Development in East Asia and the Pacific: Assessment of Initiatives and Needs in Child Survival and Humanitarian Approaches, Vol II – Regional C4D Approach, Dec 2015

UNICEF EAPRO (2015) Communication for Development in East Asia and the Pacific: Assessment of Initiatives and Needs in Child Survival and Humanitarian Approaches, Vol I – Regional Synthesis Report, Dec 2015

UNICEF WSARO (2016) C4D Strategic Framework 2016-2020, UNICEF, NY.

UNICEF (2016) Report on the Midterm Review of the Strategic Plan, 2014-2017, UNICEF, NY.

UNICEF (2016) Annual Report of the Executive Director, 2015: Performance and Results, Including a Report on the Implementation of the Quadrennial Comprehensive Policy Review, Executive Board, Annual Session 2016, UNICEF

UNICEF WCARO (2016) C4D Strategic Framework Agenda for Action, 2016-21, December 2015, UNICEF.

UNICEF WCARO (2016) C4D Agenda for Action, January 2016, UNICEF.

UNICEF (2015) C4D 2.0' a draft internal document produced by communications personnel in the Polio eradication team, May 2015, UNICEF, NY.

External documents

Speck, M. (1996) Best practice in Professional Development for Sustained Educational Change, ERS Spectrum, V14, No2, p33-41

Guskey, T. (2000). Evaluating Professional Development. Thousand Oaks: Corwin.

Waisbord, S. (2008) Assessment of UNICEF-Supported Communication Initiatives for Prevention and Control of Avian Influenza: Final Report for UNICEF, March 2008.

Bamberger (2009), Strengthening the evaluation of development effectiveness through reconstructing baseline data, Journal of Development Effectiveness. Volume 1 No. 1 March 2009.

Martin, H. J. (2010). Improving Training Impact Through Effective Follow-Up: Techniques and Their Application. Journal of Management Development, 29(6), pp. 520-534

Martin, H. J. (2010). Improving Training Impact Through Effective Follow-Up: Techniques and Their Application. Journal of Management Development, 29(6), pp. 520-534

DFID (2013) Planning Evaluability Assessments: A Synthesis of the Literature with Recommendations, Working Paper 40, October 2013, DFID, UK.

ODI (2015) Evaluability Assessment for Impact Evaluation: Guidance, Checklists and Decision Support, Methods Lab, April 2015, UK

Itad (2016) Evaluation of Norwegian Support to Capacity Development, Norad, Oslo.

Annex 5: Global capacity development survey

COMMUNICATION AND DEVELOPMENT: AN EVALUATION OF UNICEF'S CAPACITY AND ACTION

Release date: 22/04/2016

This survey is part of a global evaluation that is looking at UNICEF's experience of building C4D capacity and implementing C4D approaches. We would like to explore your personal experiences in relation of C4D capacity development activities and how they have shaped the work you do for UNICEF. This is not an assessment of your C4D competency level but an exploration of the C4D capacity development approaches you have experienced and the extent to which you have been able to put them into practice. We request that you reflect accurately on your experiences. The accuracy of your responses is extremely important for shaping the lessons learned and recommendations of this evaluation.

It is important to note that when you are providing responses to this survey you take into consideration that the definition of C4D is inclusive of Advocacy, Social Mobilization, Community Engagement, Behavior Change Communication (BCC), and Social Behavior Change Communication (SBCC).

If you have any questions, please contact Greg Gleed Gregory.gleed@itad.com

All data collection for this evaluation is being undertaken in line with the UNEG ethical guidelines for evaluations [1]. Your answers will not be attributable to you and your name will not be quoted without your permission.

Thank you in advance for your participation.

[1] <http://www.unevaluation.org/>

Please indicate your current job title (text):

Please indicate your job level:

NOB	
NOC	
NOD	
P1	
P2	
P3	
P4	
P5	
Other	

Please indicate the sector, or sectors, you work in

Health
HIV and AIDS
Water Sanitation, and Hygiene
Nutrition
Education
Child Protection
Social Inclusion
Humanitarian/Emergency
Communication for development
Other (please specify)

Please indicate which of the following C4D training courses you have attended between 2010-2015

The Ohio University course on Communications for Development	
The University of Pennsylvania course on Social Norms	
Country Office led C4D training/workshops (please provide details)	
Regional Office led C4D training/workshops (please provide details)	
Other UNICEF sponsored C4D training (please provide details)	

In your best estimate, please indicate your level of C4D knowledge in the following technical areas before you attended any UNICEF led or sponsored C4D training or workshops:

	I did not have knowledge in this area	I had basic knowledge in this area, but was unsure of how to apply it	I had good knowledge of key principles in this area and could apply my knowledge in simple situations	I had sufficient knowledge in this area to operate effectively in moderately complex situations	I had broad and deep knowledge in this area. I could apply knowledge in complex situations.
4.1 Understanding and application of key theories concepts and approaches around communication, development, culture, behaviour and social change					
4.2 Using participatory approaches to engage communities in the design of C4D interventions					

4.3 Advocating for and influencing others on the mainstreaming of C4D in programming					
4.4 Delivering capacity support (e.g. training) to others on C4D					
4.5 Designing indicators, and data collection tools for monitoring behaviour change					
4.6 Commissioning and managing research and evaluations on C4D					
4.7 Using data to plan and design evidence based C4D strategies and initiatives for advocacy, social mobilization, behaviour development and change					

To the best of your knowledge, please indicate your current level of C4D knowledge (i.e since you have attended UNICEF led or sponsored C4D training or workshops) in the following technical areas:

	I do not have knowledge in this area	I have basic knowledge in this area, but am unsure of how to apply it	I have good knowledge of key principles in this area and can apply my knowledge in simple situations	I have sufficient knowledge to operate effectively in moderately complex situations	I have broad and deep knowledge. I can apply knowledge in complex situations.
5.1 Understanding and application of key theories concepts and approaches around communication, development, culture, behaviour and social change					
5.2 Using participatory approaches to engage communities in the design of C4D interventions					
5.3 Advocating for and influencing others on the mainstreaming of C4D in programming					

5.4 Delivering capacity support (e.g. training) to others on C4D					
5.5 Designing indicators, and data collection tools for monitoring behaviour change					
5.6 Undertaking and commissioning research on C4D					
5.7 Using data to plan and design evidence based C4D strategies and initiatives for advocacy, social mobilization, behaviour development and change					

Please rate how effectively you put your C4D knowledge/skills into practice in the following technical areas:

	I do not put my knowledge into practice in this area	I try to put my knowledge into practice in this area, but with limited success	I can point to examples of where I have successfully put my knowledge into practice in this area, with coaching and support from others	I frequently put my knowledge into practice in this area. I do this successfully in both familiar and new situations / contexts.	I regularly and successfully put my knowledge into practice in this area, independent of any support. I role model practice in this area for others
6.1 Application of key theories concepts and approaches around communication, development, culture, behaviour and social change in the design of C4D interventions					
6.2 Participatory approaches to designing and implementing C4D					
6.3 Advocating for and influencing others on the mainstreaming of C4D in programming					
6.4 Delivering capacity support (e.g. training) to others on C4D					

6.5 Designing indicators, and data collection tools for monitoring behaviour change					
6.6 Collecting and commissioning research on C4D					
6.7 Using data / evidence to plan and design C4D strategies and initiatives for advocacy, social mobilization, behaviour development and change					

Please provide concrete examples of how you have put your knowledge gained into practice in the following C4D related technical areas (as applicable) in the past year:

Application of key theories concepts and approaches around communication, development, culture, behaviour and social change in the design of C4D interventions	
Using participatory approaches to designing and implementing C4D	
Advocating for and influencing others on the mainstreaming of C4D in programming	
Designing indicators, and data collection tools for monitoring behaviour change	
Delivering capacity support (e.g. training) to others on C4D	
Collecting / commissioning research evidence on C4D	
Using data to plan and design C4D strategies and initiatives for advocacy, social mobilization, behaviour development and change	
I have not been able to apply my knowledge, Please explain why.	

Please indicate the level of contribution that the following courses have made to strengthening your C4D knowledge and practices.

	I have not attend this course	No contribution at all to my C4D knowledge and practice	Limited contribution to my C4D knowledge and practice	Important contribution to my C4D knowledge and practice	Extremely important contribution to my C4D knowledge and practice
The Ohio University course on Communications for Development					

The University of Pennsylvania course on Social Norms					
Country Office led C4D training/workshops (please provide details)					
Regional Office led C4D training/workshops (please provide details)					
Other UNICEF sponsored C4D training (please indicate)					

What have been the top 3 factors that have helped you to put the C4D knowledge you have acquired through UNICEF sponsored training into practice? [select from the list below and rank in order of importance]

Financial resourcing for C4D	
Support from line manager	
Support from Senior Management	
Support from Section chiefs	
Support from C4D peers in the CO	
Support from the Regional Office	
Support from C4D peers in other COs	
Integration of C4D in the Results Framework	
Integration of C4D into CO planning processes	
Support for C4D among government counterparts	
Other (please indicate):	

What have been the top 3 factors that have prevented you from putting your C4D knowledge and expertise into practice? [select from the list below and rank in order of importance]

Lack of financial resourcing for C4D	
Lack of support from line manager	
Support from Senior Management	
Lack of support from Section chiefs	
Lack of support from C4D peers in the CO	
Lack of support from the Regional Office	
Lack of support from C4D peers in other COs	
Absence / lack of sufficient profile of C4D in Results Framework	
Lack of integration of C4D into CO planning processes	
Lack of support for C4D among government counterparts	
Other (please indicate):	

Please select 3 C4D competencies from the list below that you would prioritise for your further personal development over the next 1-2 years? Please rank in order of priority

Application of key theories concepts and approaches around communication, development, culture, behaviour and social change in the design of C4D interventions
Using participatory approaches to designing and implementing C4D
Advocating for and influencing others on the mainstreaming of C4D in programming
Designing indicators, and data collection tools for monitoring behaviour change
Delivering capacity support (e.g. training) to others on C4D
Collecting / commissioning research evidence on C4D
Using data to plan and design C4D strategies and initiatives for advocacy, social mobilization, behaviour development and change
Other (please specify)

Ohio course [only asked these questions if answer yes in Q3]

To what extent did the technical contents of the The Ohio University course on Communications for Development course respond to you learning needs?

Not at all	To a limited extent	To some extent	To a large extent	To a very large extent
------------	---------------------	----------------	-------------------	------------------------

To what extent were the teaching / learning methods and approaches used in the The Ohio University course on Communications for Development appropriate to your learning needs?

Not at all	To a limited extent	To some extent	To a large extent	To a very large extent
------------	---------------------	----------------	-------------------	------------------------

What were the 3 things you liked most about how the Ohio University course on Communications for Development was designed and delivered? Please rank them in order of importance

If you could change 3 things about how the the Ohio University course on Communications for Development is designed and delivered what would they be? Please rank them in order of importance

Upenn course (Social Norms) [only asked these questions if answer yes in Q3]

To what extent did the contents of the University of Pennsylvania course on Social Norms respond to you learning needs?

Not at all	To a limited extent	To some extent	To a large extent	To a very large extent
------------	---------------------	----------------	-------------------	------------------------

To what extent were the teaching / learning methods and approaches used in the University of Pennsylvania course on Social Norms appropriate to your learning needs?

Not at all	To a limited extent	To some extent	To a large extent	To a very large extent
------------	---------------------	----------------	-------------------	------------------------

What were the 3 things you like most about how the University of Pennsylvania course on Social Norms was designed and delivered? Please rank your answers in order of importance:

If you could change 3 things about how the University of Pennsylvania course on Social Norms is designed and delivered what would they be? Please rank your answers in order of importance

What additional C4D training courses would you like to see UNICEF develop in the future? Please select from list

Basic short course for managers

In-depth courses for managers

Basic courses for technical leads

In-depth short course for technical leads

Other (please specify)

Technical guidance

Please identify 3 pieces of UNICEF C4D technical guidance (whether at global, regional or country level) i.e. documents, guidelines, books, handbooks, leaflets, web-based materials etc.) that you have used in the past year? Please rank them in order of how useful you found them

I have not used any

If you have used any UNICEF C4D technical guidance, please provide concrete examples of how you have used it to improve your C4D practice.

On which issues / sectors / geographies would you like to see more C4D technical guidance being developed by UNICEF?

Knowledge platforms

How often do you use the following UNICEF knowledge platforms to access the latest knowledge and insights on C4D

	Never	Sometimes	Often	Frequently	Very Frequently
C4D Webinars/Web modules					
C4D Intranet page					

Other...

Please rate the effectiveness of the following UNICEF knowledge platforms as sources of knowledge and exchange on C4D

	Ineffective	Slightly effective	Effective	Very effective	Essential
C4D Webinars/Web modules					
C4D Intranet page					

Other...

What would you see as the main benefits of attending global and/or regional C4D networking meetings?

Opportunity to hearing about the latest ideas and debates in C4D	
Opportunity to hear about the latest research on C4D	
Hearing about what is happening in other countries on C4D	
Making connections / relationships with peers that you can use for support in the future	
Making connections / relationships with peers for	
Other (please indicate):	

How could network events be improved? Pls. provide 2-3 concrete ideas.

Annex 6: Desk review survey

Itad Communication for Development Evaluation (C4D): Country-level survey

{This survey will be distributed online and will utilise functionalities to guide the respondents to the correct questions and provide rating scales when and where needed}

This survey is part of a global evaluation that is looking at UNICEF's experience of building C4D capacity and implementing C4D approaches.

For the purposes of this evaluation C4D is understood as:

'A systematic, planned and evidence-based process to promote positive and measurable individual behaviour change, social change and political change that is an integral part of development programmes and humanitarian work. It uses research and consultative processes to promote human rights and equity, mobilise leadership and societies, enable citizen participation, build community resilience, influence norms and attitudes and support the behaviours of those who have an impact on the well-being of children,(women) their families and communities, especially the most marginalized or hard-to-reach.'

We kindly request your country office completes a single questionnaire and that this is coordinated by the Deputy Representative. The survey should reflect the CO's response on C4D rather than that of a specific individual. If you have any questions, please contact Greg Gleed Gregory.gleed@itad.com

All data collection for this evaluation is being undertaken in line with the UNEG ethical guidelines for evaluations.²⁷⁸ Names of individual country offices will be kept to a minimum in the analysis of the results. Your answers will not be attributable to you and your name will not be quoted without your permission.

Questions

Please select your Country Office (CO) from the following list: (Dropdown menu)

1. Please tick all the sections/programme areas in the CO:
 - a. Health
 - b. HIV and AIDS
 - c. Water, Sanitation, and Hygiene
 - d. Nutrition
 - e. Education
 - f. Child Protection
 - g. Social Inclusion
 - h. Humanitarian/Emergency
 - i. Communications for Development
 - j. Other programme areas not listed above (please specify)
2. What percentage of overall country programme expenditure has gone to C4D over the past 3 years (approx.)
 - 2013 (N/A, <1%, 2--5%, 5%-10%, 10%-20%, 20%-30%, 30%-40%, >50%)
 - 2014 (N/A, <1%, 2--5%, 5%-10%, 10%-20%, 20%-30%, 30%-40%, >50%)
 - 2015 (N/A, <1%, 2--5%, 5%-10%, 10%-20%, 20%-30%, 30%-40%, >50%)
3. Which of the following C4D capacity development courses have CO staff attended in the past 3–4 years? (select from the following list)
 - a. The Ohio University course on Communications for Development
 - b. The University of Pennsylvania course on Social Norms
 - c. Regional-level on-job learning workshops
 - d. Webinar series on C4D
 - e. Other courses attended, but not covered above (Please Note)
 - f. No current staff member has attended any courses in the past three years

For the courses that staff have attended, please indicate the number of staff who attended each course and the sector they work in.

²⁷⁸ <http://www.unevaluation.org/>

Name of course	Number of staff attended, broken down by sector

4. Please rate the contribution that each of the following C4D capacity development courses have played in improving C4D plans/initiatives within the country programme?
- The Ohio University course on Communications for Development (n/a, insignificant, somewhat significant, significant, essential)
 - The University of Pennsylvania course on Social Norms (n/a, insignificant, somewhat significant, significant, essential)
 - Regional-level on-job learning workshops. (n/a, insignificant, somewhat significant, significant, essential)
 - Webinar series on C4D (n/a, insignificant, somewhat significant, significant, essential)
 - Other courses staff have attended, but not covered above (Please Note) (n/a, insignificant, somewhat significant, significant, essential)

5. Given your country programme needs, what would be the most useful type of C4D training UNICEF could offer moving forward (select from the following list):
- Generic courses on C4D theories, methods and approaches
 - Sector-specific courses that focus on how to apply C4D in specific sectors
 - Both generic and sector-specific courses

If you indicated that sector-specific course would be useful, please name up to 3 areas where sectoral training in C4D would be most useful.]

6. Overall, how would you rate the level of investment the CO has made in developing UNICEF in-house C4D capacity over the last 3–4 years? (very low, low, medium, high, very high)
7. How would you rate the level of investment the CO has made in developing in-house C4D capacity over the last 3–4 years in specific sections/programmes? [please only rate those section/programmes relevant to your CO]
- Health (very low, low, medium, high, very high)
 - HIV and AIDS
 - Water, sanitation, and hygiene
 - Nutrition
 - Education
 - Child protection
 - Social Inclusion
 - Humanitarian/emergency
 - Communications for development
 - Other programme areas not listed above (please specify)
8. In the CO's opinion, overall, to what extent does the country office have the necessary C4D knowledge and skills among its staff to respond to the needs and demands of the country programme? (not at all, to a small extent, to a moderate extent, to a great extent)
9. In the CO's opinion, to what extent does each Section/programme have the necessary knowledge and skills among their staff to effectively respond to the C4D needs and demands of the country programme? [please only rate those section/programmes relevant to your CO]
- Health (n/a, not at all, to a small extent, to a moderate extent, to a great extent)
 - HIV and AIDS
 - Water, sanitation, and hygiene
 - Nutrition
 - Education
 - Child protection
 - Social Inclusion
 - Humanitarian/emergency
 - Communications for development
 - Other programme areas not listed above (please specify)

10. In the CO's opinion, to what extent do country office staff have the necessary knowledge and skills in the following C4D technical areas to respond to the needs and demands of the country programme?
 - a. Advocate for and influence the C4D agenda within UNICEF and government counterparts (n/a, not at all, to a small extent, to a moderate extent, to a great extent)
 - b. Design and plan evidence-based C4D interventions
 - c. Monitor and evaluate C4D interventions
 - d. Manage and budget for C4D interventions
11. In the CO's opinion, to what extent has the investment in building C4D capacity within the CO led to improvements in the quality of how C4D plans and initiatives are designed and implemented? (n/a, not at all, to a small extent, to a moderate extent, to a great extent). Please explain your answer and point to specific examples
12. In the CO's opinion, to what extent does the country office understand its in-house capacity needs in C4D across the country programme? (n/a, not at all, to a small extent, to a moderate extent, to a great extent)
13. In the CO's opinion, to what extent does each sections/programme understand their in-house capacity needs in C4D? (n/a, not at all, to a small extent, to a moderate extent, to a great extent) [please only rate those sections/programmes relevant to your CO]
 - a. Health
 - b. HIV and AIDS
 - c. Water, Sanitation, and Hygiene
 - d. Nutrition
 - e. Education
 - f. Child Protection
 - g. Social Inclusion
 - h. Humanitarian/Emergency
 - i. Communications for Development
 - j. Other programme areas not listed above (please specify)
14. Does the CO have an overarching strategy on C4D in support of the current country programme and/or sector-specific C4D strategies? (NB. This may or may not be a formal document (Yes, No) If yes, please provide details.)
15. Please list the outcomes, outputs and associated indicators in the CO current Results Framework which have been identified as C4D results or results that C4D activities/interventions make a significant contribution to. If this list is extensive please indicate in the text below and send the documents in a separate email to Gregory.gleed@itad.com
16. To what extent does the CO's most recent Situation Analysis include an analysis of the opportunities/enablers and barriers to achieving C4D objectives (behaviour and social norm change; empowerment and participation of children and communities) in support of sectoral outcomes, (not at all, to a small extent, to a moderate extent, to a great extent)
17. Has the CO conducted / commissioned any of the following in the past three years?:
 - Evaluations of C4D interventions / of programmes with significant C4D components
 - Research on barrier and enablers to behaviour and social norms change
 - Research on barriers and enablers to empowerment and participation of children and communities
 - Analysis of the communication context (Media reach, communication practices and networks, preference and content surveys/analysis).

If yes, please list the name(s) and date(s) of these documents

18. To what extent are the C4D team/leads involved in the resource mobilisation strategies of the Country Programme? (n/a, not at all, to a small extent, to a moderate extent, to a great extent)
19. Overall, to what extent are current levels of financial allocations for C4D sufficient to meet the demands and needs of the country programme? (not at all, to a small extent, to a moderate extent, to a great extent)
20. To what extent do the current levels of financial allocations for C4D meet the needs of each section/programme? [please only rate those sections/programme areas relevant to your CO]
 - a. Health (N/A, not at all, to a small extent, to a moderate extent, to a great extent)
 - b. HIV and AIDS

- c. Water, Sanitation, and Hygiene
- d. Nutrition
- e. Education
- f. Child Protection
- g. Social Inclusion
- h. Humanitarian/Emergency
- i. Communications for Development
- j. Other programme areas not listed above (please specify)

21. Overall, to what extent are current human resources (i.e staff numbers) for C4D sufficient to meet the demands and needs of the country programme? (not at all, to a small extent, to a moderate extent, to a great extent)

22. To what extent do the current levels of human resources available for C4D work meet the needs of each section/programme: [please only rate those sections/programme areas relevant to your CO]

- a. Health (n/a, not at all, to a small extent, to a moderate extent, to a great extent)
- b. HIV and AIDS
- c. Water, Sanitation, and Hygiene
- d. Nutrition
- e. Education
- f. Child Protection
- g. Social Inclusion
- h. Humanitarian/Emergency
- i. Communications for Development
- j. Other programme areas not listed above (please specify)

23. Has the CO documented any innovations, best practices, or locally contextualised tools / guides in C4D in the last 5 years? (Yes, No)

- a. If yes, please list the titles of these documents

24. In the past 3–4 years has the CO delivered any C4D capacity support to government counterparts and/or implementing partners (e.g. training, mentoring, advisory support)? (Yes, No)

- a. If yes, please indicate for which sector, the form of capacity support provided (training, mentoring advising), and the target audience (i.e. NGO/CSO or government)

Name / description of training	Target audience	Type of capacity support	Sector

25. If the CO is delivering C4D capacity support to government counterparts and implementing partners is this guided by a specific plan? (NB. This may or may not be a formal document) (Yes, No)

26. What level of priority will the CO expect to give to strengthening the C4D capacity of government and/or NGO/civil society organisation (CSO) partners' in the next three years? (low, moderate, high, very high)

27. Do any mechanisms exist at the country level (national or subnational) for planning, coordinating and strengthening C4D activities with government and other partners (e.g. ad hoc task forces, working groups, committees)? (Please list)

Please describe the composition and purpose of this group(s), and the nature of UNICEF's role within it/them?

28. Please indicate the CO's level of satisfaction with the Regional Office's role in the following areas [in those regions where there has not been a regional C4D advisor or focal point, please choose N/A]:

- a. Providing leadership and advocacy on C4D in the region (n/a, very unsatisfied, unsatisfied, satisfied, very satisfied)
- b. Providing technical support to your CO in the design and implementation of C4D plans and programmes (n/a, very unsatisfied, unsatisfied, satisfied, very satisfied)
- c. Designing regional specific C4D resources and training (n/a, very unsatisfied, unsatisfied, satisfied, very satisfied)
- d. Sourcing and deploying regional C4D expertise to COs (n/a, very unsatisfied, unsatisfied, satisfied, very satisfied)

- e. Facilitating exchange and sharing of C4D knowledge and practice in the region (n/a, very unsatisfied, unsatisfied, satisfied, very satisfied)

29. Please indicate the CO's level of satisfaction with NY HQ's role in the following areas:

- a. Providing overall strategic direction on C4D within UNICEF (very unsatisfied, unsatisfied, satisfied, very satisfied)
- b. Providing global leadership and advocacy on C4D (very unsatisfied, unsatisfied, satisfied, very satisfied)
- c. Providing global C4D training and learning opportunities for staff n/a, (very unsatisfied, unsatisfied, satisfied, very satisfied)
- d. Strengthening the evidence base on C4D; (very unsatisfied, unsatisfied, satisfied, very satisfied)
- e. Providing technical guidance on C4D; (very unsatisfied, unsatisfied, satisfied, very satisfied)
- f. Leading the development of global C4D tools and templates (very unsatisfied, unsatisfied, satisfied, very satisfied)
- g. Creating and managing platforms and process for C4D knowledge management, technical support and networking (very unsatisfied, unsatisfied, satisfied, very satisfied)

30. Please indicate what areas should the RO and HQ prioritise over the next three years in their role in supporting the CO in C4D

Thank you for completing this survey. This will be followed by interviews in person or by phone but if you have any additional comments or feedback please use the following box. (text box)

Annex 7: List of stakeholders that were consulted

Ethiopia

Awoke Moges	Emergency Officer
Djanabou Mahonde	Chief of Child Protection Section
Fanna Minuyelet	Nutrition C4D Specialist
Gebreegziabher Lemma	Emergency Officer
Gillian Mellsop	Representative
Hanna Woldemiskel	C4D Specialist, PMU
Jane Bevan	Rural WASH Specialist
Kalkidan Gugsu	WASH C4D Specialist
Mariame Sylla	MNCH Cluster Lead
Macoura Oulare	Chief of Health Section
Michele Paba	Urban WASH Specialist
Patrizia DiGiovanni,	Deputy Representative
Rahel Kabba	Urban WASH Specialist
Remy Pigois	Chief of Research, Evaluation, Policy and Monitoring
Rebekah Demelash	C4D Focal Point, Oromia Field Office
Shalini Rozario	Communication Specialist, Health Section
Sacha Westerbeek	Chief of Media and External relations
Siddig Ibrahim	Chief of Oromia Field Office
Sam Godfrey	Chief of WASH Section
Tesfaye Simireta	Health C4D Specialist
Tiye Fayissa	C4D Focal Point, Education
Thomas Mhyren	Chief of Programme Management Unit
Zenzem Shikur	Social Mobilization Specialist, Child Protection
Abebach Araya	Coordinator of health coordination and health promotion team, FMOH
Ato Sseleshi Tadesse	Acting Director for Mobilisation and Participation Enhancement Directorate, Women's Directorate, MOWCA
Berhane Legesse	Assistant Representative, UNFPA
Essayas Gebremeskel	Communication Specialist, DSW
Feyera Assefa	Country Director, DSW
Dr Gobena Kebede	Clear Impact Consult
Kathleen Gallagher	Epidemiologist, WHO
Dr. Negussie	Executive Director, PMC
Dr. Zufan Abera	Director of Health Extension and Primary Health Service Directorate, FMOH

Bangladesh

Edouard Beigberger	Representative
Towfique Ahmed	Field Office Chief
Christine Hofer	Field Office Chief
Madhuri Banerjee	Field Office Chief
Kafil Uddin	Field Office Chief
Omar Farooq	Field Office Chief
Kazi Dil Afroza Islam	Field Office Chief
Shirin Hussain	C4D Section
Tania Sultana	C4D Section
Sanjit Das	C4D Section
Sheikh Masudur Rahman	C4D Section
Gita Rani Das	C4D Section
Jamil Hassan	C4D Section
Syed Imitiaz Ahmed	C4D Section
Syedul Hoque Milky	C4D Section
Louis Mvono	Deputy Representative
Neha Kapil	C4D Chief
Carlos Acosta	SPPME Chief
Shirin Hussain	C4D Specialist
Shima Islan	CAP
Alex Illmer	SPPME
Shukrat Rakhimdjnov	Health Manager
Ms. Shaila Nazneen	Senior Research Associate, JPG SPH-BRAC
Mr. Nurul Islam	Senior Research Assistant, JPG SPH-BRAC
Mr. Rezaul Karim Chowdhury	Executive Director, COAST Trust
Charlie Hrachya Sargsyan	WASH Chief
Shima Islam	CAP Chief
Razwan Nabeen	BBC Media Action
Carlos Acosta	SPPMP
Alex Illmer	SPPMP
Rosanne Papavero	Child Protection Chief
Shukrat Rakhimdjnov	Health Manager
Rokeya Begum	SUS
Mohamed Mukhlesur Rahman	MOI Netrakona
Md Abdul Hoque	Bangl. Betar
Asif Saleh	BRAC
Mojibul Huq	BRAC
Bazle MUSTAFA RAZEE	FIVDB
Kazi Akhtar	Ex-MOI
S.M. Haroon-or-Rashid	MOI
Nasreen Khan	MOH

Kyrgyzstan

Yukie Mokuo	Representative
Raoul de Torcy	Deputy Representative
Muktar Minbaev	RM&E officer (and planning)
Galina Solodunova	C4D advisor
Mavliuda Dzhaparova	Communication officer
Gulnara Zhenishberova	Head, OIC Osh Zone Office
Alvard Poghosyan	Head of Education Section Education and Early Childhood Development Specialist
Cholpon Imanalieva	Head of Health Section
Munir Mammadzade	Child Protection Chief
Gulsana Turusbekova	Social policy specialist

Esen Turusbekov	WASH & Emergency officer
Jana Magnitschenko	Adolescent development protection and peacebuilding advisor
Elena Zaichenko	Child protection officer
Edil Tilekov	HIV officer
Chynara Kumenova	Education Officer
Esen Turusbekov	WASH & Emergency officer
Usupova Jamylia	Head of Department of education, Min. Health
Gulmira Hitmurzaeva	Director of Health Promotion, Min. Health
Anna Savinykh	Coordinator of project 'our Voice', ARIS
Gulcayir Amanalieva	Coordinator of WASH in schools, ARIS
Eginaliera Anara	Director, Bishkek office, Foundation for Tolerance International
Shabdanova Tazkyan	Programme Director Foundation for Tolerance International
Uzbekova Zorina	Foundation for Tolerance International
Beremdick, Vasilevka	Volunteer, Katya Youth centre
Berendik, Vasilevka	Chairman, Asylbek Youth Centre
Sanzhar	Volunteer, Youth Centre GTO-Orlovka
Sabina Ibraimova	Head of production Dept., Red Crescent Society
Saltanat Nlamyzbaeva	TB communication, Red Crescent Society
Tynara Sulaimanova	Nurse, Red Crescent Society

Viet Nam

Youssef Abdel-Jelil	Representative
Jesper Moller	Deputy Representative
Joyce Patricia Bheeka	Chief, Education
Vijaya Ratnam-Raman	OIC, Chief Child Protection
Mizuho Okimoto-Kaewtathip	OIC, Chief, Social Policy & Governance
Louis Vigneault-Dubois	Communications Chief
Marianne Oehlers	Chief, Private Partnership/Programme Manager, HCMC office
Vu Manh Hong	PM&E Chief
Nguyen Quynh Trang	PM&E Specialist
Chu Huu Trang	C4D Specialist
Tran Phuong Anh	C4D officer
Vu Thi Le Thanh	Child Protection Officer
Lalit Patra	WASH specialist, Team Leader WASH, CSD
Do Hong Phuong	Nutrition Policy Specialist
Nguyen Thi Y Duyen	CP specialist, CP
Le Anh Lan	Inclusive Education Officer, EDU
Nguyen Thi Van Anh	Social Policy Specialist, SPG
Nguyen Thi Thanh Huong	Communication Specialist, Communications
Emmanuel Eraly	Technical Officer, WHO
Makiko Iijima	Technical officer, Expanded Programme on Immunisation, WHO
Trinh Ngoc Quang	Deputy Director, National Centre for Health Education, MOH
Pham Thi Hai Ha	Deputy Director Children's Department, MOLISA
Vu Van Dzung	Director, Centre of counselling and communication services, MOLISA
Nguyen Thi Kim Dung	Deputy Director of Law and Policy Department, Viet Nam's Women Union (Mass organization)
	Legal and Policy Department, Viet Nam's Women Union (Mass organization)
Nguyen Thanh Luan	Deputy Director, National Centre for Rural Water Supply and Sanitation, MARD
Duong Tu Oanh	Officer, National Centre for Rural Water Supply and Sanitation, MARD- Director of IEC department
Nguyen Thuy Ai	Former head of IED Dept. & 15 years with UNICEF coop
Nguyen Van Nhung	Department of Education and Training

Nguyen Nam	Director, Centre for Health Education, Department of Health
Nguyen Thi Bich Tram	Centre for Health Education, Department of Health
Vu Minh Tuyen	Deputy Director, Department of Planning and Investment
Vo Cong Ha	Department of Planning and Investment
Le Vu Chuong	Department of Health
Le Thi Xua	Department of Labour Invalids and Social Affairs
Nguyen Van Thanh	Director, Commune Health Centre
Nguyen Thi Ngoc Thuy	Health staff, Commune Health Centre
Chamaka Thi My	Health staff, Commune Health Centre
Thanh Thi Tuong Vy	Health staff, Commune Health Centre
Chamaka Thi Dung	Health worker, Dong Thong village
Chamaka Thi Chien	Health worker, Tap La village
Chamaka Thi Phan	Health worker, Ma Trai village
Chamaka Thi Dep	Health worker, Dau Suoi A village
Pinang Thi Huynh	Health worker, Dau Suoi B village
Chamaka Thi Grang	Mother of newborn baby

Nigeria

Olalekan Ajia	C4D Specialist
Jean Gough	Representative
Al-Umra Umar	Interim C4D lead
Olalekan Ajia	C4D Specialist
Narendra Choudary	Data Manager
Naureen Naqvi	C4D Specialist polio
Noma Owens-Ibie	C4D Specialist
Margaret Soyemi	C4D Officer
Denis Jobin	Chief PM&E
Rachel Harvey	Chief Child Protection
Sharon Oladiji	Child Protection Specialist
Maryam Enyiazu	Child Protection Specialist
Sharon Oladiji	Child Protection Specialist
Priyanka Khanna	Communications Specialist, Polio
Azuka Menkiti	Education Specialist
Dominic Stolarow	Emergencies Chief
Abiola Davis	HIV/AIDS Chief
Dorothy Mbori-Ngacha	HIV/AIDS Specialist
Rose O. Madu,	DD/Head CRIB Federal Ministry of Information & Culture, Abuja
Falayi Temitoye	Senior Information Officer Federal Ministry of Information & Culture, Abuja
Dick-Iruenabere Ufuoma	Assistant Director, National Youth Service Corps, Abuja
Abu Blessing	Inspector 1, National Youth Service Corps, Abuja
Zira Zakka Nagga	Senior Information Officer Federal Ministry of Information & Culture, Abuja
Chantu Musa	Director National Orientation Agency, Abuja
Obinna Nwosu	Assistant Chief Programme Officer National Orientation Agency, Abuja

Moh'd Sabo Adamu	Chief Admin Officer, National Primary Health Care Development Agency, Abuja
Iweala-Oshioke Njideka	Community Development Officer National Primary Health Care Development Agency, Abuja
Helen Iziegbe Akhigbe	Assistant Chief Nursing Officer/MNCH Federal Ministry of Health, Abuja
Mohammed. M. Sada - Director	Policy & Research National Broadcasting Commission, Abuja
Utpal Moitra	Kaduna Field team: Chief
Margaret Duniya	C4D Specialist
Olalkan Ajia	C4D specialist
Kannan Nadar	WASH Chief
Tommi Laulajainen	Acting Chief, C4D-polio Comm.
Arjan de Wagt	Nutrition Chief
Nawshad Ahmed	PME
Abdulai Kaikai	Bauchi Office Chief
Charles Nzuki	Chief, Enugu Field Office
Dr Aboubacar Kampo	Chief of Health
Denis Jobin,	Chief PME
Binta Isah-Ismail	PME
Caroline Akosile	C4D Specialist, Lagos
Blessing Ejiofor	MER Specialist, Lagos
Hilary Ozoh	C4D specialist, Enugu
Samuel Kaalu	MER, Bauchi Office
Nkiru Maduechesi	Child Protection Specialist, Enugu
Doune Porter	Media and External Relations Chief
Geoffrey Njoku	Media and External Relations Specialist

HQ and RO

Waithira Gikonyo	OLDS, Human Resources, Senior Learning Officer
Francesca Moneti	Programme Division, Child Protection Senior Advisor
Susana Sottoli	Programme Division, Associate Director
Lizette Burgers	Programme Division, Team Leader Toilet Team
Andrew Trevett	Programme Division, M & E Specialist, Joint Monitoring Programme
Sherine Guiguis	Programme Division, Head of C4D, polio Team, Health
Cody Donahue	Programme Division, Child Protection Specialist
Neha Kapil	C4D Section, Programme Division, C4D specialist
Christopher De Bono	EAPRO, Chief of Communication
Natalie Fol	ROSA, Regional Advisor ADAP
Savita Naqvi	WCARO, Regional Advisor, Communication for Development (C4D)

Patricia Portela De Souza	ESARO, Senior Communication for Development (C4D) Specialist
Rafael Obregon	Programme Division, Section chief
Lely Djuhari	CEE/CIS, Communication Specialist
Andres Lopez	LACRO, Regional Chief of Communication / Jefe Regional de Comunicación
Marisol Quintero	LACRO, C4D Regional Focal Point
Shoubo Jalal Rasheed	MENA, Regional Communication for Development Specialist
Medrad Moke	DRC, Communication Specialist
Kerida MacDonald	Programme Division, C4D Advisor
Amaya Gillespie	Health Division, C4D HIV/AIDS team
Gopal Sharma	C4D Section, Senior Communications Advisor
Jeffrey O'Malley	Division of Data, Research and Policy, Director
Steve Adkisson	Field Results Group, Director
Craig McClure	Programme Division, Associate Director HIV/AIDS
Peter Crowley	Programme Division, Principal Advisor polio
Colin Kirk	Evaluation Office, Director
Etona Ekole	Field Results Group, Chief, Programme Design and Guidelines
Ted Chaiban	Programme Division, Director
Paloma Escudero	Department for Communications, Director
Edward Carwardine	Department for Communications, Deputy Director
Inoussa Kabore	WCARO, Regional M & E Advisor West Africa and EAG member

Annex 8: List of C4D technical guidance and assessment framework

Cross-cutting	Very low integration	Low integration	High integration	Very high integration
Human Rights-Based Approach	No reference to HRBA in technical guidance. Very low integration	Some reference to for HRBA in technical guidance. Low integration	High level of detail on HRBA in technical guidance. Good level of integration but some gaps	High level of detail on HRBA. Very good level of integration
Gender Equality	No reference to gender equality in technical guidance. Very low integration	Some reference to gender equality in technical guidance. Low integration	High level of detail on gender equality in technical guidance. Good level of integration but some gaps	High level of detail gender equality. Very good level of integration
Equity	No reference to Equity in technical guidance. Very low integration	Some reference to Equity in technical guidance. Low integration	High level of detail on Equity in technical guidance. Good level of integration but some gaps	High level of detail on Equity. Very good level of integration
Participation	No reference to participation in technical guidance. Very low integration	Some reference to participation in technical guidance. Low integration	High level of detail participation in technical guidance. Good level of integration but some gaps	High level of detail on participation. Very good level of integration

Sample of C4D technical guidance documents reviewed	Date
Social Mobilisation and Communication to Prevent Mother-to-child Transmission of HIV	2010
Mobiles for Development	2010
Integrating Information and Communication Technologies into Communication for Development Strategies to Support and Empower Marginalized Adolescent Girls	2013
Children, ICT and Development Capturing the Potential, Meeting the Challenges	2014
Ebola: Getting to Zero – for Communities, for Children, for the Future	2015
Case Study: Community Care Centres, Community Dialogue and Engagement: Key Ingredients in Sierra Leone	2015
Communication Handbook for Polio Eradication and Routine EPI	2001
Essentials for Excellence	2008
Facts for Life	2010
WASH for School Children in Emergencies, A Guidebook for Teachers	2011
Communicating with Children: Principles and Practices to Nurture, Inspire, Excite, Educate and Heal	2011
United Nations Inter-agency Resource Pack on Research, Monitoring and Evaluation in Communication for Development	2011
C4D in Malaria Programming: Integrating Communication for Development Within Malaria Programming to Control Malaria's Impact Among Children and Pregnant Women	2010 updated 2011
The Three Star Approach for WASH in Schools	2013
MNCHN, C4D Guide	2015
Manual: Increasing Interpersonal Communication Skills for the Introduction of Inactivated Polio Vaccine (IPV)	N/A
Behaviour Change Communication in Emergencies: A Toolkit	2006

The Role of Communication for Development in Emergency Situations	2011
Communication for Behavioural Impact (COMBI): A Toolkit for Behavioural and Social Communication in Outbreak Response	2012
UNICEF Cholera Toolkit – Chapter 7: Communication	2013
Building Trust in Immunisation Partnering with Religious Leaders and Groups	N/A
Writing a Communications Strategy for Development Programmes : A Guideline for Programme Managers and Communication Officers	N/A
UNICEF Guidelines for Undertaking a Communication for Development (C4D) Situation Analysis	2010
C4D Evaluation Criteria for CPDs	2010
Briefing Paper Series – Innovations, Lessons and Good Practices: ‘Behaviour Change Communication Cells and Village Information Centres (India)’	2011
C4D for Affected Populations – Note on Performance Monitoring	2011 updated 2012
Using Social Change Communication to Promote Child Survival in Niger: African Leadership for Child Survival	2013
Framework for Developing an Integrated Communication Strategy for the Introduction of Oral Cholera Vaccine in Cholera Prevention and Control Programmes	2014
Key Elements to Consider Before Developing C4D Promoting Advocacy Activities for MNCH Programmes	N/A
Examples of What to Monitor for C4D Programmes and The Types of Questions to Ask	N/A

Annex 9: C4D global benchmark assessment scale

Benchmarks	Performance Rating Scale
1. New or existing mechanisms (task forces, working groups etc.) are established and functioning to plan, coordinate and strengthen C4D activities.	<ul style="list-style-type: none"> • Red: There is no evidence of any groups or task forces trying to coordinate C4D activity in the country; • Amber: There is evidence of ad hoc task forces, working groups, and committees undertaking activities to strengthen C4D at the country level. UNICEF are involved in these; • Yellow: Nascent multi-partner, government-led planning & coordination mechanism for C4D exists at the National or Subnational Levels. UNICEF is playing a role in these; • Green: There is evidence of the following: an established multi-partner, government-led planning & coordination mechanism for C4D at both national AND subnational levels. The mechanisms are considered an effective way of coordinating, planning and strengthening C4D activities; UNICEF plays an essential role in its functioning.
2. C4D plans/interventions are informed by, use and monitor data and evidence on behavioural and socio-cultural factors as well as media and communication contexts	<ul style="list-style-type: none"> • Red: There is no evidence C4D plans/interventions being informed by relevant data from monitoring, evaluation, behavioural analysis or analysis of the communications context; • Amber: There is evidence of C4D plans/interventions being informed by one of the following: monitoring data, evaluations, behavioural analysis, analysis of the communications context; • Yellow: There is evidence of C4D plans/interventions being informed by two of the following: monitoring data, evaluations, behavioural analysis, analysis of the communications context; • Green: There is evidence of plans / interventions being systematically informed by the following: Formative research being undertaken on prevailing behavioural and social norm barriers and opportunities; communication situation analyses have been conducted; formal Situation Analyses for CP has integrated a C4D component; monitoring and evaluation data from existing and past C4D initiatives.
3. Participatory processes are used to engage community representatives and members into sector programmes/interventions	<ul style="list-style-type: none"> • Red: No evidence of the use of participatory process being used; • Amber: Some evidence of participatory processes being used; • Yellow: evidence of participatory processes being used, but with room for improvement; • Green: High level of evidence of participatory approaches being used.
4. Plans/ initiatives/ ongoing programmes to strengthen C4D capacities of UNICEF staff, partners at national and subnational levels	<ul style="list-style-type: none"> • Red: No evidence of plans/initiatives/ongoing programmes to strengthen capacity; • Amber: Some evidence of plans/initiatives/ongoing programmes to strengthen capacity, but these are primarily UNICEF focused; • Yellow: There is evidence of UNICEF and external focused capacity support, but with areas for improvement; • Green: There is evidence of the following: CO has formally included C4D in individual and Section Learning Plans and provided budget to cover this; CO has a capacity development plan for Government counterparts (including district authorities, programme managers, frontline workers) and implementing partners. These are funded and being implemented; The CO has established strategic partnerships to coordinate and support external C4D capacity development.
5. C4D best practices, impact assessments, tools, resources, innovations and lessons learnt are documented and disseminated among key audiences.	<ul style="list-style-type: none"> • Red: No evidence of key resources being documented and shared among key stakeholders; • Amber: Some evidence of key resources being documented and shared among key stakeholders; • Yellow: evidence of key resources being documented and shared among key stakeholders, but with room for improvement; • Green: There is evidence of the following: Innovations and best practices in C4D have been document and shared; There is documentation of C4D initiatives includes reporting on behaviour and/or social changes that were achieved; Locally contextualised C4D tools and guides have been developed and shared; Key audiences for C4D learning products have been identified and a communications plans exist.

Annex 10: Evaluability assessment scale

<p>Evaluability <u>in principle</u></p> <p>Assessment criteria:</p> <ul style="list-style-type: none"> • Behaviour changes, shifts in social norms, social mobilisation and/or advocacy clearly articulated in the programme logic • Causal logic clear on how C4D interventions contributes to behaviour change/social norms outcomes 	<p>Both programme logic and specific contribution of C4D is unclear in the results framework, significant improvements needed before it would be in principle, possible to evaluate.</p>	<p>There are gaps in the intervention logic and the contribution of C4D is not completely clear in the results framework. Some improvements are needed before it would be, in principle, possible to evaluate</p>	<p>There is a clear underlying logic to the results framework, and the specific contribution of C4D is clearly articulated. In principle it is possible to evaluate the intervention</p>
<p>Evaluability <u>in practice</u></p> <p>Assessment criteria:</p> <ul style="list-style-type: none"> • Data is robust and credible • Availability of baseline data and feasible plans for collecting them • Quality indicators tracking behaviour change and social norms 	<p>Significant questions about data quality and coverage. Significant improvements needed before it would be possible to in practice evaluate at country office level</p>	<p>Gaps in data quality and/or questions about the quality data means that the country office requires some improvements in its data collection before it would be possible in practice to evaluate</p>	<p>High quality data is collected on specific C4D activities and results. Data is appropriate and baselines are available. It would be possible, in practice to evaluate C4D</p>

