

Programme of Cooperation between the Government of Sri Lanka and UNICEF

Final Report

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Asia Department

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Sida Evaluation 07/44

Asia Department

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List of Acronyms

Service CAAC	Children affected by Armed Conflict
CAG	Cash advance to government
CBO	Community based organization
CFA	Cease-fire agreement
CFS	Child-friendly school
CMT	Country Management Team (of UNICEF SL)
CUE	Catch-up Education
CPC	Country Programme of Co-operation
DAC	Development Assistance Committee (of the OECD)
DCPC	District Child Protection Committee
DCDC	District Child Development Committee
DFID	Department for International Development
DHS	Demographic and health survey
ECD	Early childhood development
ECHO	European Commission's Humanitarian Aid Office
FAO	Food and Agricultural Organization
GoSL	Government of Sri Lanka
GTZ	German Development Cooperation
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HRBA	Human Rights Based Approach
IDP	Internally Displaced Persons
ILO	International Labour Organization
ISA	In-service Advisers (Education)
LSBE	Life Skills Based Education
LTTE	Liberation Tigers of Tamil Eelam
MDG	Millennium Development Goals
MoCDWE	Ministry of Child Development and Women's Empowerment
MOE	Ministry of Education
MOH	Ministry of Health
MOU	Cease fire Agreement

MPO	Master Plan of Operations
MRE	Mine Risk Education
NGO	Non-governmental Organizations
NPA	National Plan of Action
MTR	Mid-term Review
PMTCT	Prevention of mother-to-child transmission
PRSP	Poverty Reduction Strategy Paper
SCiSL	Save the Children in Sri Lanka
Sida	Swedish International Development Cooperation
STD	Sexually transmitted diseases
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Fund
UNICEF	United Nations Children's Fund
UXO	Unexploded ordnances
VAW	Violence against women
WFP	World Food Programme
WHO	World Health Organisation
WUSC	World University Canada

Executive Summary

This evaluation of UNICEF's Country Programme of Co-operation (CPC) with the Government of Sri Lanka from 2002–6 was commissioned by the UNICEF Country Office in Sri Lanka in late 2006 to provide a basis for the planning of its programme for the period 2008–12. The evaluation aims to provide an objective assessment of UNICEF's performance in the period 2002–6, and it focuses in particular on the effectiveness of programmes, the capacity that they have been able to build, Monitoring & Evaluation, and the remaining capacity 'gaps'.

This evaluation used UNICEF's Human Rights Based Approach (HRBA) framework, and the evaluation methodology included a Documentation analysis, interviews and other meetings, visits to sample of 7 districts in addition to Colombo, and two 'Validation Workshops' – one for UNICEF staff, the second for external stakeholders.

The Master Plan of Operations which formed the basis of the CPC envisaged that UNICEF would support programmes that influence the entire life cycle of the child, from pregnancy through to adolescence. For the first time for UNICEF in Sri Lanka the approach aimed to be child centred, rather than sectoral. The MPO included programmes for Children Affected by Armed Conflict, Early Childhood Development, Learning Years, Adolescence, and Protection of Children and Women, plus advocacy and communication work in support of these programmes.

The early years of the 2002–06 CPC saw good progress. A National Plan of Action for the Children of Sri Lanka launched in 2004, and a joint Action Plan for Children affected by War was endorsed by the Government of Sri Lanka and the LTTE in 2003. But since 2004 the CPC has been implemented against a challenging context given the need for UNICEF to respond to the devastating Tsunami and the re-emergence of the conflict in the North and East following the breakdown of the 2002 Cease Fire Agreement. Yet in relation to the MDGs on health and education the country has continued to make good progress in the last five years, and the Tsunami did not really alter this positive long term trend.

In relation to effectiveness of the major UNICEF programmes The Under-Age Recruitment (UR) programme aimed at trying to secure the release of child soldiers is seen as successful in continuing to focus attention on this issue, but more could be done in relation to prevention strategies and promoting community awareness The Mine-Risk Education Programme has also been successful, but needs to be supported by a stronger national advocacy component.

As regards the psychosocial programme there is no consistency of approach and UNICEF needs to be clearer about its appropriateness and application in differing situations, and more analysis is needed at the country level to find out about whether or not the psycho-social approach is making a positive difference. With respect to the Child Protection programme, at the national level a National Plan of Action (NPA) for children has been agreed and a National Child Protection Authority (NCPA) was established in January 1999, but the NCPA's approach, and the government effort with regards to child protection, is still more focussed on 'child rescue' and the supply of services rather than prevention. As the NCPA is developing a structure plan and will do a training needs plan it is recommended that UNICEF should now focus its efforts on strengthening their overall capacity, and there is also more scope for UNICEF to work with the justice system to improve child protection. While there are many potential partners for UNICEF in Child Protection, it has found it hard to build up long term partnerships. It has conducted many awareness raising programmes but the extent to which these programmes have resulted in changing behaviour, attitudes and practice is far less clear.

The Early Childhood Development Programme (ECD) run by MOH staff has covered a far greater area than originally planned, and has been successful in supporting both the interests of claim holders

(mothers & children) and duty bearers (e.g. midwives and other health staff.) Its exact impact is hard to determine in the absence of qualitative indicators of behaviour change or greater community empowerment. Mothers have a positive experience of the changes brought about by this programme even though there is a need to give greater attention to the issues of low birth weight and childhood malnutrition.

The Learning Years (LY) Programme is also seen as successful in relation to increasing enrolment, improving educational outcomes, and promoting the idea of Child Friendly Schools, but the Programme covers a wide spread of activities and stakeholders from national level to district level and the evaluation suggests that UNICEF should now focus on a few strategic areas in where they could have built up the MOE's capacity, especially in planning and M & E. The Adolescence Programme, with its focus on youth in schools, is seen as potentially helpful, but was probably too small to have achieved any major changes in behaviour.

In relation to the capacity built by different programmes both in Government and wider civil society the CPC has supported the continuous improvement in health and education indicators in Sri Lanka, but Child Protection has been far more problematic. The last CRC report was undertaken in 2003, but no system has been put in place to monitor the CRC and build a national response. In child protection there have been frequent changes in staffing in both UNICEF and government as well as frequent changes in the government structures themselves. The major capacity 'gaps' identified include weak planning, monitoring, & supervision, and an unequal distribution of human resources between urban and the remoter rural areas, especially in the education sector.

The best guarantee of the *sustainability* of this capacity is a combination of enhanced demands from claim-holders, together with continuing political commitment from duty-bearers, backed by sufficient budgetary allocations from the government. We conclude that this positive combination of factors does exist in both health and education, but not as yet in child protection.

As regards UNICEF's own capacity its systems are seen both by its own staff and partners as being relatively 'heavy', and tend to come in the way of capacity building. The problem areas identified include too much time spent on writing proposals, a lack of understanding by partners and sometimes staff themselves about procedures, delays in payments, and high staff turnover of international staff which results in a rapid loss of institutional memory. HRBA are not well understood, especially in Zone Offices, and staff, although anxious to apply the principles, had not been equipped to do so, and had rarely received relevant training. Staff tend to keep within their own sector or 'silo' and few staff at the zonal level have an overview of UNICEF's work.

In UNICEF the M & E function is found to be too disconnected from programmes, with too much focus on activities and financial disbursement, and on the collection of data, and insufficient attention being given to assessing short and medium term outcomes. M&E is more focussed on getting information to UNICEF head office rather than feeding information into zonal level decision-making, and the evaluation recommends a stronger focus on building the M&E capacities of the GoSL and other partners, and the use of a wider range of M & E tools. The current log frame is found to be too long and complex, and needs to be simplified and re-designed so it can become a useful monitoring tool. The UNICEF monitoring system PROMS has some potential to be used to support a more decentralised management approach, but will not be sufficient in itself to ensure better monitoring of outcomes.

The evaluation concludes that from 2002–6 UNICEF support has contributed to continuing progress in Sri Lanka, especially in relation to Health and Education, and in the relief and recovery effort following the Tsunami.

UNICEF's Human Rights Based Approach (HRBA) is not well understood by staff, and HRBA issues are neither being internalised in programming decisions, nor are they being clearly communicated to partners. The CPC has been implemented through UNICEF Zone Offices and funding decisions have

been very responsive to the immediate problems of the different government agencies: however from a capacity building perspective the funding decisions made were sometimes insufficiently strategic.

The key recommendations are that UNICEF collectively needs to ‘lighten the load’ on its staff; undertake a series of capacity assessments to identify capacity built and remaining capacity gaps; greatly increase its advocacy capacity, and review and restructure its M & E systems. Finally it needs to build in far more gender analysis into all programmes, and try to identify ways of increasing child participation in the CPC.

1 Introduction

1.1 Context & Purpose of Evaluation

This evaluation of UNICEF’s Country Programme from 2002–6 was commissioned jointly by UNICEF Sri Lanka, Sida, and DFID to review the performance of UNICEF and its partners in this period and to provide a basis for the planning of its programme for the period 2007–12.

The *objectives* of the evaluation are the following:

1. Assess the capacity of partners and UNICEF personnel to implement strategies and activities of projects at the different levels of implementation as identified by the CPC within an human rights based approach to programming.
2. Evaluate to the extent to which the planned results are achieved and are likely to be sustained within each of the programme areas of the CPC.
3. Assess the cost effectiveness of programmes or selected projects of the CPC.
4. Identify gaps in design and planning of projects that constrained sustainability of implemented programmes

As part of the first objective the evaluation also tried to analyse the extent to which there now exists in Sri Lanka sufficient national capacity to advance children’s rights, and its key capacity ‘gaps’ in this respect.¹

Although the evaluation was intended to contribute to the draft Country Programme Document from 2008–2012, delays in mobilising the Evaluation Team meant that the first draft of this CPD was already written and submitted to UNICEF New York before this report could be finalised. However we still hope there will be scope to incorporate our recommendations within the overall framework of this Plan.

1.2 Methodology of the Evaluation

The focus of this evaluation was mainly at the outcome level of the country program of UNICEF for the period 2002–2006. This required a broader perspective rather than looking into the micro details at the programme level. The focus of the evaluation was on the basic ‘behavioural and cultural changes’ at the policy, operational and utilization levels in the different programmes. While this review has largely followed qualitative methodology for its data collection process, this has been supplemented by the use of quantitative data where appropriate.

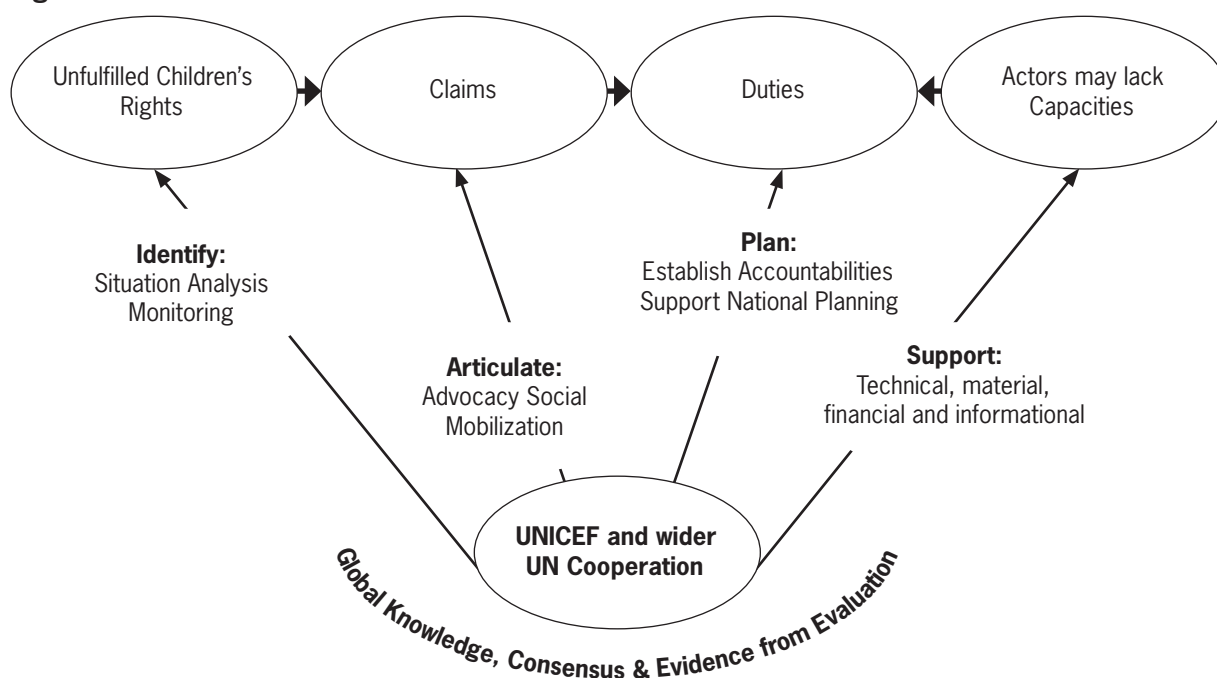
¹ From the internal UNICEF paper *Assessing Critical Mass in National Capacities for Children’s Rights in Countries in Transition* (undated).

Analytical framework

The evaluation team decided to use the framework below as provided in UNICEF's Policy & Procedures Manual as a tool to assist the analysis of data collected. This framework regards children as rights-holders who have claims against those with obligations to ensure the fulfilment of those rights. As this PPP Manual states:

'Children whose rights remain unmet have claims against those with an obligation to act. Parents, communities, CSOs, governments, and others have resulting duties. At the same time, parents and other duty bearers also may have unfulfilled rights, for example due to poverty, and have claims on resources themselves. Vulnerability and exclusion are manifestations and causes of the lack of capacities within families, communities, government, and others to fulfil children's rights (ref. figure 1). The human rights of children and women are particularly threatened in situations of instability and crisis.'

Figure 1



Within this model we were especially interested in the balance between different components – e.g. between situation analysis, advocacy, supporting national planning and support, both technical, material, and financial, and also the balance between assistance to ‘duty bearers’ and ‘claim holders’.

However the Evaluation Team supplemented this model with two further frameworks – the ‘outcome mapping’ method (developed by IDRC Canada) which defines outcomes as *changes in the behaviour, relationships, activities, or actions of the people, groups, and organisations with whom a programme works directly. These outcomes can be logically linked to a program’s activities, although they are not necessarily directly caused by them*². We felt this approach was relevant because in this evaluation we were trying to identify changes related to capacity building and sustainability, which conventional M & E systems are rarely able to ‘track’ effectively. Our particular interest was to try to document the ‘results’ of UNICEF-supported programmes with our major focus being at the outcome level – which we define as the institutional and behavioural changes to which UNICEF support has contributed.

² See www.idrc.ca

We also made use of a further framework for capacity assessment originally developed by Mckinsey for ‘Not for Profit’ organisations.³ For UNICEF Government partners are more crucial, and the key criteria determining capacity are likely to be firstly the overall political commitment of the government to the sector, and secondly the quality and consistency of leadership within the ministry concerned. For our own purposes we found the following framework useful for capacity analysis both of UNICEF and its partners:

Levels	Stakeholders	Areas for Capacity Assessment
1) Policy level	Central government agencies (ministries and department) & semi government agencies	– Policy formation – plan & planning – M&E – Coordination
2) Management Level	i) Province & District level Authorities ii) Partners. NEES	– Programme development & planning. – Management – M&E
3) Delivery Level	Service delivery agencies at district /Zonal level.	– Institutional capacity including knowledge skills& attitude of staff

It will be appreciated that a full capacity assessment would require a detailed analysis of these variables for each partner. This was not possible given the very large number of partners with whom UNICEF interacts and the time and resource parameters of the evaluation). We therefore focused on tracking some of the key variables that determine the capacity of many of UNICEF’s major partners. The evaluation also reviewed UNICEF’s strengths and weaknesses as a capacity-building organisation.

Standards against which assessments were made

This evaluation uses normal DAC definitions, (relevance, efficiency, effectiveness, impact, and sustainability) but it does not attempt to evaluate the CPC against all of these criteria. From the TOR the key criteria, on which we were asked to focus, were the following:

Effectiveness is defined as *‘the extent to which the activity achieves its purpose, or whether this (purpose) can be expected to happen on the basis of the outputs’.*

Sustainability *‘is concerned with measuring whether an activity or an impact is likely to continue after donor funding has been withdrawn.’*⁴ It should be noted that this definition of sustainability includes both a degree of political commitment to an activity, as well as the necessary funding and logistical support to allow that activity to continue.

In addition to these two criteria we also tried to assess the *relevance* of different programmes as an integral part of this evaluation.⁵ While we were not asked to review the remaining two DAC criteria, efficiency and impact, this evaluation does refer to these issues in different parts of the report (for example see the references to UNICEF’s efficiency in section 5.). The TOR did not ask us to review the impact of the CPC and it would have been far harder to assess this given the importance of the contextual factors described in section 3, and the difficulties of isolating UNICEF’s contribution from those of many other agencies.

In the evaluation we often found it hard to separate out sustainability from the wider notion of capacity building: UNICEF is aiming to build strong national capacities, for instance for the promotion of child rights, and a key indicator of the strength of this capacity will be its sustainability.

³ The framework is summarized in Appendix 6.

⁴ From UNICEF’s Tsunami Evaluation – p.20–22

⁵ *‘Relevance is concerned with assessing whether a project is in line with local needs and priorities (as well as donor policy.)’* See UNICEF Tsunami Evaluation & also ALNAP Review 2004 (www.alnap.org)

Methodology used

The evaluation team used the following methods:

- *Documentation analysis:* Review of UNICEF's MPO, MTR, & Annual Reports, plus selected Annual Work plans and previous evaluations. We also reviewed a large number of documents supplied by UNICEF's partners and other agencies.
- *Interviews and other meetings* with UNICEF staff, in Colombo and different Zonal Offices, representatives of other UN agencies, both local & international NGOs, plus UNICEF's Government partners at Centre, Province, District, Divisional and community levels.
- *Visits* to local organisations, schools, health centres, discussions with staff, clients, and community members, and observation of training events.
- Following the production of the draft report the evaluation team held two *validation meetings* to discuss and validate findings – the first with UNICEF staff, the second with external stakeholders. Therefore the majority of both the programme-level conclusions and recommendations and the Country level recommendations have already been discussed with both staff and with a small number of external stakeholders.

To ensure a greater focus one team member took responsibility for the collection and analysis of data with respect to education, health, child protection and M&E respectively using an overall checklist of key questions worked out by the whole team. The majority of meetings with outside stakeholders were held without UNICEF staff being present.

In order to visit a representative sample of different types of area, in addition to Colombo, the Evaluation Team visited the following places where they were able to see the full range of UNICEF-supported activities. The methods used during these visits included meetings with UNICEF staff and Government and NGO partners (both in groups and on an individual basis), plus visits to schools, health centres, communities, and IDP camps.

	Area	Reasons for inclusion
1.	Anuradhapura	UNICEF focus district(bordering conflict areas)
2.	Vavuniya	Conflict/North
3.	Kilinochchi	Conflict/North
4.	Trincomalee	Conflict/East & Provincial centre
5.	Nura Eleya	Central tea estate area
6.	Monaragala	Poor UNICEF focus district in south, including some tea estates
7.	Kandy	Provincial centre

Limitations to the methodology

The documentation supplied by UNICEF (especially the MPO, MTR, and Annual Reports) provided a full picture of the thinking behind the CPC, the results achieved, and the constraints faced. These documents did not however provide much baseline data in relation to what capacity key partners had in 2002, which would allow us to assess how that capacity has changed over the last 5 years.

Even with more detailed information in relation to capacity it would have been difficult to undertake a very detailed 'capacity assessment' of such a wide range of partners in the time available. As the models above show, capacity is an elusive and dynamic concept, requiring a wide variety of assessment tools. As noted above the level of political commitment, and the quality of leadership, are crucial variables, and in the Sri Lankan context, as in many others these variables are constantly changing.

A more prosaic limitation on this evaluation, due to staff work loads, was to secure sufficient ‘quality time’ with key UNICEF staff, and senior government partners, especially in Colombo. A second constraint was a lack of consistency in UNICEF’s own data: for example, figures given in annual reports sometimes change from one year to the next, and sometimes the earlier report does not appear to have been used as a point of reference. Thirdly as in any similar evaluation, the team found discontinuities in staffing, both within UNICEF and within partner agencies, which made it harder to maintain a 5-year perspective on UNICEF’s performance.

A further difficulty proved to be in relation to any kind of cost effectiveness analysis. We found it hard to access all the relevant data in relation to costs; and even if we had been able to locate this data, it is not clear what reliable ‘benchmarks’ we could have used given the diversity of the CPC. Trends in overall expenditure have been greatly distorted in the last two years by both the Tsunami and the conflict, and thus it is difficult even to analyse such cost trends as what proportion of programme costs are going into staff and office costs. We therefore agreed with UNICEF at the outset to omit this part of the TOR from our evaluation.

Dealing with possible bias, and the validation process

The team included consultants from four different countries with a wide range of expertise and experience. In order to correct any biases, misunderstandings, or errors of interpretation the whole evaluation team returned to Colombo once a first draft of the report had been circulated, and held two validation workshops, the first with UNICEF staff, the second with external stakeholders. Both workshops proved very valuable both as opportunities for the evaluation team to check its findings and fine tune recommendations, and also for further discussion of the issues raised in the evaluation. Although there is clearly some cost involved in such a return visit we recommend that this approach be followed in future UNICEF Country-level Evaluations, as we believe that this method allows an evaluation team to fine tune its conclusions and recommendations and helps maximise the learning to be drawn from such an evaluation. We suggest also that with complex, country-level evaluations it would be a good idea for the Team Leader either to pay a separate initial visit up to a month before the main visit, or to arrive a week before the rest of the team to help finalise the logistical arrangements for the whole evaluation.

Ethical Issues

No particular ethical issues arose in this evaluation. As already noted the evaluation had a national focus, and interaction with primary stakeholders and community members was relatively limited. This limited interaction was itself based on an ethical judgement that we should not take up the time of vulnerable community members, especially people displaced by the conflict, in participative exercises when their views and concerns are already well-documented in existing evaluations and reports.

As is normal practice in evaluation, we respected the confidentiality of all our informants, and no individuals are quoted by name in this report.

2 Overview of the CPC 2002–2006

This section reviews briefly the MPO written in 2002, the changing context in Sri Lanka, and the adjustments that were made by the UNICEF Country Programme in the light of this changing context.

2.1 Original objectives of the MPO 2002–2006

Overall strategy

UNICEF's 2002 Master Plan of Operations was relatively ambitious in that it envisaged that UNICEF would support programmes that influence the entire life cycle of the child, starting with pregnancy, ante-natal, and post-natal care, and moving on to cover pre-school years before the age of 5, learning years from 5–14, and adolescence (10–19). This 'life cycle' approach had been recommended by the MPO which saw it as a way of better integrating UNICEF's efforts on behalf of children in Sri Lanka. The MPO further emphasised that UNICEF would follow a Human Rights-based approach (HRBA) in all its programming, and that the guiding framework for this would be the Convention on the Rights of the Child (CRC) and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW).

The overall strategy of the country programme was to build the capacity of and empower duty-bearers at all levels of society to enable them to protect, promote and be accountable for the rights of Sri Lanka's children and women. It was further envisaged that the CPC would have 'a multi-sectoral programme approach in which activities will be supported in a holistic manner, rather than through a plethora of issue-specific "vertical" projects'. Thus the MPO aimed to focus on four 'layers' of 'duty bearers' – families/communities, service providers, sub-national institutions, and national level policy makers. The MPO emphasised the need for a geographical, rather than a sectoral approach, in implementation, and it envisaged that 'The activities of each programme will be clustered horizontally by the level of duty-bearers whose capacity is to be strengthened. The four clusters constitute four "projects" in each programme.'

Programme Objectives

The objectives of the programmes, defined in the MPO, and used as the basis for this evaluation were as follows:

- a. *Children Affected by Armed Conflict programme:* To protect and support the realization of the rights of children and women most affected by the conflict, and to mitigate the effects of the conflict on all children and women;
- b. *Early Childhood programme:* To establish the full potential of the child by improving survival, promoting nutrition and maximising cognitive and psychosocial development during early childhood;
- c. *Learning Years programme:* To support universal completion of primary education and improve learning achievement by building a child-friendly learning environment;
- d. *Adolescence programme:* To improve skills, coping capacities and participation of adolescent girls and boys;
- e. *Protection of Children and Women programme:* To contribute to the elimination of child abuse, particularly sexual abuse and domestic labour, and to support the protection of women against violence and abuse within the frameworks of CRC and CEDAW, and
- f. *Rights-based Planning, Policy Analysis, Advocacy, Communication, Monitoring and Evaluation programme:* To create an enabling environment of policies, resource allocations, attitudes and actions in the Government and civil society which promote the rights of children and women.

2.2 Key lessons learned & adjustments made from 2002–06

The early years of the 2002–2006 MPO saw good progress with A National Plan of Action for the Children of Sri Lanka (NPA) launched in 2004, and a joint Action Plan for Children Affected by War endorsed by the Government of Sri Lanka and the LTTE in 2003. Against the background of a positive context, and strong hopes of a long term solution to the conflict, from 2002–2003 overall funding to UNICEF increased from US\$ 5 million to over US\$16 million, thanks in part to the signing of the MOU and the related cessation of hostilities.

The MTR of October 2004 emphasised that this rapid expansion of resources was starting to cause some bottlenecks even before the tsunami at the end of 2004: It found that *delays are being faced in disbursement and reconciliation of accounts. Funding disbursement mechanisms have been slowed down with the increase of funding levels*⁶. The section on UNICEF's capacity below analyses the extent to which these problems have been solved since the 2004 MTR.

The MTR found that the programme had not in practice been able to follow the 'life cycle approach' envisaged in the MPO. In particular the protection programme had to include all ages of children and thus cut across this original concept, while there was a strong case for integrating the Learning Years with parts of the Adolescence programmes. With regard to the ECD Programme the MTR recommended a stronger focus on nutrition and increasing the supplementation of Vitamin A. The MTR recommended that the Learning Years Programme should work closely with the Ministry of Education in the context of the education sector-wide approach to address the issue of improving the quality of education. It recommended that the LY programme should continue its focus on those groups currently not attending school, specifically at the higher levels of basic education and in the conflict areas and estates where drop-out rates are high. With regard to the Adolescence Programme the MTR recommended that it should try to expand its work in establishing networks of peer educators but it should also try to pay more attention to institutionalising life skills based education and to a strengthened response to HIV/AIDS.

Overall the MTR recommended an increased allocation to the historically neglected Estate Sector (the districts of Nuwara Eliya, Badulla and Manaragala). It recommended that UNICEF should give more attention to particular implementation constraints which it saw as human resources, fund management, data collection and data management issues. In particular the MTR was concerned about the programme's weaknesses in M & E and recommended *the development of a field-based monitoring system that involves project officers in the monitoring of programme progress and particularly the quality of implementation on a systematic basis*.⁷

The implementation of the MTR's recommendations was delayed both by the Tsunami of December 26 2004, and the continued difficulties in the peace process through 2005 and 2006, the impact of both of which are analysed below. Progress on nutrition at the national level remained slow, and in education according to the 2006 Annual Report while there had been a strong emphasis on *'improving educational quality through teacher training and provision of material inputs, insufficient focus has been placed on ensuring high quality training and on follow up to making sure that change takes place in teaching methodologies in the classroom.'*

⁶ 2004 MTR: P.40

⁷ Final MTR Report – p.46.

3. The Changing Sri Lankan Context 2002–2006

3.1 Overall Progress

In respect of those MDGs of most relevance to UNICEF Sri Lanka has continued to make remarkable progress in the last five years. In relation to education, the net primary school enrolment rate now stands at 96%, with a similar figure for completion of primary school. While this figure is likely to be lower in the conflict areas of the north and east, MOE figures still show remarkably high enrolment and completion figures even in conflict areas.⁸ In education, gender equity has also been largely achieved. In health, the infant mortality rate (IMR) has fallen from 36 to 13 infant deaths per 1000 live births between the late 1970s and 2000. In the same period under-five mortality rates have also fallen from 48 to 17, and the maternal mortality rate has fallen to less than 23 per 100,000 live births.⁹ In relation to key health indicators, specifically the IMR and MMR, different parts of the country show a broadly similar pattern, but in relation to other economic and social indicators there remain severe regional disparities. Within the country there are major contrasts between at least three different types of area:

- the three Western Districts around Colombo which account for 51% of the country's GDP
- the remaining, largely peaceful, districts in the south and centre of the country with greater levels of poverty (especially in the tea estates) and vulnerability to natural disasters (including floods, land-slides, and the Tsunami),
- the conflict-affected areas of the North and East.

Even allowing for these regional variations, this rapid progress towards achieving health and education related MDGs poses some major challenges for an agency like UNICEF. One issue is that with such rapid progress at least towards the health and education MDGs, UNICEF's perceived relevance, and hence its potential for successful advocacy on such key issues as Child Protection and Child Rights, may gradually decline over time. Secondly, sustaining the considerable gains made is likely to be far less a result of donor agency efforts, and far more the result both of consistent political will and how many years it takes to resolve the conflict in the North. Thirdly, there are indications that the GoSL is now giving top priority to such issues as encouraging foreign investment and improving infrastructure: while health and education remain priority areas, as in many countries, social welfare takes a far lower priority.

3.2 The Effect of the Tsunami on the CPC

While this evaluation focuses on the long term CPC, not on the Tsunami response, the team was asked to review whether *the Tsunami recovery programme has added to the sustainability of UNICEF-supported interventions*. By their very nature recovery programmes aim to restore infrastructure and livelihoods to the state they were in before a disaster. Even if these programmes succeed in 'building back better' they will not necessarily build sustainable capacity.

The immediate impact of the Tsunami on UNICEF's other operations was negative. In financial terms, as we have shown, UNICEF was already facing difficulties adjusting to the great increase in donor resources which it was able to mobilise as a result of the 2002 Ceasefire Agreement, with expenditure more than trebling from \$5 million in 2002 to \$16 million in 2004. But the Tsunami required the

⁸ The quality of data on the status of education in conflict areas is questioned by some NGOs.

⁹ World Bank – Country Assistance Strategy 2006 (Appendix 1, p.15)

operation to handle almost four times as much funding (over \$55 million in 2005), and the total allocation for the UNICEF supported four-year emergency and reconstruction programme is US\$185.7 million.

Even these figures, on their own, do not give a complete picture of the Tsunami's impact on UNICEF as an organisation. First there was the impact on staff time, especially the constant diversions it caused in the schedules of senior staff given the number and frequency both of Co-ordination Meetings and high level delegations. Secondly, as outlined in UNICEF's own Tsunami evaluation, and constantly emphasised by current staff to this Evaluation team, the Tsunami response showed up the need for more streamlined procedures, especially in respect of finance and procurement, and the Tsunami evaluation underlined the danger of *'the fear of audit'* which continues to constrain UNICEF's operational responses.¹⁰ Thirdly, even two years after the Tsunami, reconstruction on the North East coast is still being severely delayed by the escalating conflict in these areas and the constraints of getting construction materials into the area.

In spite of these difficulties UNICEF staff point to a number of long positive outcomes from the Tsunami response. As the Tsunami evaluation confirmed, internationally UNICEF was able to use its influence across the Tsunami-affected countries to ensure that Government policy discouraged the creation of orphanages – which could have easily happened given the funding available. Secondly as a result of the Tsunami staff saw some progress in the WASH sector, specifically in defining water quality standards, and also positive outcomes in ensuring a stronger focus on rapid nutrition assessments, and in securing stronger Government guidelines for child friendly schools. Across the different sectors the extra funding available from the Tsunami has enabled UNICEF and other donors to fill long standing 'hardware' gaps in buildings and equipment throughout the conflict-affected districts, even though recruitment of front line staff in health and education remains problematic in conflict-affected areas.

Externally the Tsunami has had both positive and negative impacts on UNICEF's relations with its partners, which have on balance made it harder for the agency to achieve sustainable results. The Tsunami affected 9 of the 16 UNICEF-identified focus districts and at the zonal level UNICEF has played a constructive role in supporting co-ordination with Heads of Zone Offices in four zones acting also as UN focal points, and they also participated in the joint emergency task force in Mullaitivu. Currently relationships between Zone Offices and senior Government staff, as well as between the Kilinochchi office and the political wing of the LTTE appear positive. At the Colombo level some staff and partners argue that it has now become harder for all UN agencies to achieve their advocacy goals since with so much post-Tsunami funding being disbursed by INGOs and bilateral donors the UN system as a whole is now responsible for only a small proportion of total aid.

With so many agencies operating in many of the areas affected by the Tsunami, all with large budgets to spend, there is a high probability that if UNICEF funds are withdrawn, their partners would be able to find other donors, and this clearly reduces their incentive to achieve sustainability: this is far less true of the conflict areas in the north and east, from which a number of NGOs have withdrawn both because of Government pressure and for security reasons. Our conclusion on this is that even though much of UNICEF's post-Tsunami work has been highly effective, apart from the positive points noted here there is no strong evidence that the Tsunami has assisted the sustainability of its other programmes.

A further consideration has been the pressure put on the whole international community by the need to disburse the unprecedented amounts of money raised for the Tsunami. In the case of UNICEF it made it harder to identify partners through whom it could implement as for the last two years NGOs in particular have had more than enough funding of their own. This has pushed UNICEF into more direct implementation and (in the view of partners) has caused an identity problem, in the sense that

¹⁰ See UNICEF's Tsunami Evaluation 2005 – Synthesis Report p. 41.

these partners are now not sure if UNICEF is a co-ordinating, funding or an operational agency. At the same time the continuing need to disburse relatively large amounts of money for Tsunami reconstruction have made it harder for many agencies, including UNICEF, to return to 'normal' operations even more than two years after the event.

3.3 The CPC in the Context of Revived Conflict

However the greatest challenge by far is the revival of the conflict between the LTTE and the Government in the North and East which has now lasted for almost 25 years. We will not go into detail on the conflict as it has been analysed in detail in many other studies¹¹. The key points of relevance for this evaluation are as follows:

- With 5 out of 7 offices in conflict-affected areas, it becomes harder for offices to focus on long-term capacity building. The conflict and related displacement of civilians require UNICEF to be in 'reactive' mode in these locations. The need to respond to the changes in numbers, needs, and locations of displaced people has become a major logistical challenge, with particular difficulties faced by all agencies in getting supplies through to Tamil-controlled areas.
- Three offices (Kilinochchi, Trincomalee, & Batticaloa) are in both conflict and Tsunami-affected areas. This means that they have large budgets to disburse but face varying constraints not only in terms of their ability to undertake construction projects but also in relation to other activities like training courses.
- With the revival of the conflict the GoSL has been more critical about the role of the international community which it claims has been 'supporting' the LTTE. There are currently significant differences in perspective: while the international community sees the solution of the conflict as the top priority, the GoSL is trying to focus attention on Sri Lanka's investment potential and the need to improve infrastructure.¹²
- The recurrence of the conflict has had many impacts, not just increasing the need for health, education, and child protection services in the conflict areas, but also making it far harder for the Government to recruit staff to fill jobs in all these sectors. There has been a high level of migration by Tamil refugees out of Sri Lanka, with 16,607 refugees arriving in Tamil Nadu in 2006, over half of them in August and September when the conflict was especially acute.¹³ This rate of migration is likely to be maintained or even accelerated given the renewed escalation of the conflict in 2007.
- The conflict is likely to accentuate a strong existing bias in the education system, by which urban schools may have surplus teachers, while peripheral ones, especially those in more remote or disputed areas, often face a shortage.

Changes in the UN System

Since 2002 there have also been major changes in the way the UN works, with a greater convergence between agencies and a stronger focus on the overall results achieved by the whole UN system in any one country. At the time of this evaluation a new UNDAF was under preparation. This new Framework has as its first Outcome 'Economic growth and social services are pro-poor, equitable, inclusive and sustainable in fulfilment of the MDGs and MDG plus, and focus in particular on the rural areas.' The UNDAF includes many references to capacity building, including, for instance the Improved

¹¹ See in particular Goodhand J. & Klem B. *Aid, Conflict, and Peacebuilding in Sri Lanka* – Asia Foundation 2005

¹² See *Mahinda Chintana: Vision for a new Sri Lanka – 10-year development framework 2006–2016* (Ministry of Finance & Planning). The conflict is only referred to in a short section from pages 218–25.

¹³ Figures supplied to Evaluation Team by UNHCR, Trincomalee: note that these figures only refer to refugees going to Tamil Nadu.

performance of regional and local level structures in fulfilling their role as duty-bearers in delivering services in a transparent and accountable manner, and capacities of local government institutions further strengthened and better resourced for more accountable and improved decentralized planning, management, delivery and M&E of public goods and services (UNCT Outcome 2)

This new UNDAF which is designed to cover the period 2008–12 also takes a strong Human Rights Based Approach, and HRBA issues are referred to in many of the key outcomes.

This evaluation can therefore be seen as something of a ‘reality check’ for UNICEF as it finalises its own contribution to the UNDAF, helping it to reflect on what it has achieved so far, and what are the major constraints it faces, both internal and external.

4 Effectiveness

Introduction

This section reviews the effectiveness of the different programmes, reviewing first the initial objective quoted in the MPO and secondly the results achieved by the end of 2006 (using the 2006 Annual Report as a point of reference, supported by the evaluation findings.) As quantitative indicators are only available for the ECD Programme, the results for the remaining programmes are mainly assessed against qualitative criteria. The effectiveness of all programmes is also assessed against the HRBA framework described in the Introduction.

4.1 Effectiveness of Child Protection Programmes

The results reported by UNICEF for 2006 were summarised as:

- Establishment of District Child Protection Committees
- Reduction in the number of children in children’s homes
- Work to prevent commercial sexual exploitation of children
- Children and women benefiting from psychosocial support interventions
- Working to end underage recruitment
- Reduction in the number of landmine/UXO casualties and victims of landmine/UXO incidents

Conflict-related programmes

The objective given in the MPO for the programme for Children Affected by Armed Conflict (CAAC) was *‘to protect and support the realisation of the rights of children and women most affected by the armed conflict and to mitigate the effects of conflict on all children and women’*. The project objective was ‘to increase the awareness of families and build the capacity of communities and community based organisations (CBO) to better respond to the realisation of the rights of children and women affected by the armed conflict’

As noted above the HRBA approach requires a clear understanding about what the situation in the particular area is and to analyse who the most marginal and vulnerable are within society and the causes for the lack of the fulfilment of rights. Within a conflict area children and women are particularly threatened by instability and crisis and human rights violations which are taking place, such as forced recruitment, recruiting of child soldiers, displacement, lack of services, bombing and sexual abuse.

In the UR programme there have been positive results such as the increase in the average age of recruitment from 14 in 2002 to 16 in 2005. UNICEF will have had a major part to play in this achievement as the pressure has been kept up to stop underage recruitment and the LTTE and other factions are anxious to be seen to have a good international press coverage. Through UNICEF keeping a sustained focus on UR, statements were made by the NCPA and the Human Rights Commission against child recruitment, giving a clear message from GoSL. The LTTE political wing have established a Child Protection Authority and passed a Child Protection Act which is a positive step. Although these developments are not attributable directly to UNICEF, the fact that attention is being focused on under age recruitment has contributed to this and this gives the opportunity to keep pressure up to deliver on commitments.

A solid monitoring and reporting system has been established to record reported cases of recruited children and releases of children, from whichever faction is recruiting. Regular communication has been established with LTTE which keeps the opportunity of negotiation and keeps dialogue open. Increasingly families are aware that they can report to UNICEF and their cases will be followed up. This has opened up discussion about under age recruitment, even though LTTE are not making public their declared commitment to stopping recruitment.

A weaker area of this programme is in *building strategies around prevention*. There are many examples of where individual actions have helped in protection of children. These need to be brought together in a systematic and all encompassing strategy, which is practiced throughout the districts. Examples of practices which were effective are UNICEF; as an international body; being present at temple festivals and generally having a high visibility within the area; children wearing school uniforms to such events, and communities looking out for vulnerable children and being able to safely report concerns¹⁴. People do feel helpless because of forced recruitment and fear, but there is a need for a far more pro-active involvement of communities to be alert to vulnerable children, and to have channels through which they can safely feed into the information being gathered by UNICEF and other human rights monitors. Children's homes, schools, and community groups can all assist in monitoring attendance and alert immediately if someone goes missing or a situation changes. SCiSL suggested that factors such as poverty, family breakdown and abusive home environments contributed to the voluntary recruitment of children. Reintegration activities of released children were assisted by livelihood support to families and through this approach of tackling some of the underlying problems, resistance to recruitment can be supported.

Building on information to assess situation and identify most urgent and vulnerable needs for advocacy and social mobilisation

Information is being gathered as part of activities. This is strongest in the Mine Risk Education programme (MRE) activities where Knowledge, Attitudes and Practice (KAP) analysis is undertaken with each community, and the information used to prioritise work and identify key MRE messages to use. KAP information is now being analysed at district level as well as in Jaffna and Kilinochchi. This wealth of information can be built upon to gain a better understanding about programme achievements, how to constantly improve upon delivery and increase community involvement in the design and implementation of the programme. Information is available from IMSMA about the broader picture of where land mines are and have been, communities involved and so on but this did not seem to be widely used within the programme to make connections between community, district and national level advocacy.

An objective of the programme is to obtain a landmine ban in Sri Lanka, which is the only sustainable

¹⁴ A pilot community based protection programme to support released children and prevent recruitment was found to be an effective way of mobilising the community. This works through mothers clubs, children's clubs and protection committees to stop recruitment and identify vulnerable children and conduct community child protection interventions. However, this approach can be curtailed by an increase in hostilities as fear and intimidation rises and families feel the best approach is to keep children at home or send them away, e.g. to the Middle East for work.

outcome, and in the evaluation report in 2004 a key constraint to progress was the lack of advocacy for banning landmines. This seems still to be a weak area and insufficient work is being undertaken at national level, based on the experience gained at community level. There is a real opportunity *to strengthen advocacy* around demanding a Land Mine Ban in Sri Lanka with communities being enabled to have their experience taken into account and to be actively involved in discussions and linkages made with Land Mine Action Groups globally in order to keep momentum going and build in a sustainable community voice which creates change. The opportunity exists to develop an HRBA approach to programming, which would involve a stronger feedback from community to national level and back to communities in order to achieve a clear ban on the use of land mines and associated human rights violations. Currently the connection from an activity based focus (educating people about the risks associated with land mines and increasing community safety) to advocating for sustainable change at national level is weak and this connection needs to be strengthened.

Within the other activities UNICEF is engaged with, for example, the children's clubs, working with families and communities through psychosocial support, child friendly spaces in IDP camps and the systems for monitoring child recruitment, information is being generated which can be collectively used to build understandings about ways to maximise preventative action, assess situations, target vulnerabilities and develop strategies for involvement and advocacy.

Strengthening impartiality and a communication strategy.

Although UNICEF monitor and report on recruitments from all factions, LTTE claim that they are disproportionately targeted and any violations from the GoSL side do not receive commensurate reporting and exposure. If UNICEF does highlight alleged violations by the GoSL, then they receive a bad national press and there is an impression that UNICEF is being manipulated for political point scoring from both sides.

As regards the UR programme UNICEF needs to develop a national communication strategy which is seen to be balanced reporting of all human rights/child rights violations which are taking place, by all parties. (Rec 3) It is recommended that a communication strategy working group with other UN agencies, human rights groups, NGOs and INGOs who are actively involved with reporting on human rights should be formed to develop a strategy which will strengthen overall reporting and help communities in conflict areas feel they supported by the international community.

UNICEF's mandate in relation to Resolution 1612 offers an opportunity to be much more proactive in this regard. The Task Force set up to monitor and report on child rights violations by this Resolution and its direct link to the Security Council obliges UNICEF to focus on the six violations and to report on them regardless of which party is the offender; the scope of this reporting can be further broadened into a national communication strategy and build on its current approach of including the involvement of NGOs and communities at district level.

4.1.1 Conclusions on the effectiveness of Underage Recruitment & Mine Risk Education Programmes

During UNICEF involvement and the time of the Action Plan underage recruitment has continued. The LTTE did not stop all recruitment nor release all children in its ranks. UNICEF figures show that the numbers recorded by UNICEF of children recruited fluctuate, and have peaks and troughs since 2002 to the present time. This is the case both for the LTTE and the Karuna and other factions. Recorded figures relate only to those children reported to UNICEF and there is no way of knowing the true number of children held, nor how many are being recruited and not reported. The aim of stopping underage recruitment is therefore difficult to achieve.

A stale-mate has been reached in the negotiations to release underage recruits. The LTTE claim they are a de-facto state and therefore under the Optional Protocol on CAAC they can recruit from 17 years

instead of 18 as laid down in CRC OP Article 38, thus making it harder for UNICEF to hold LTTE and others to account for violations done to children in the conflict. There is an opportunity with Resolution 1612 to open up the areas for advocacy, exposure of violations and negotiation beyond the narrow focus of under age recruitment. Given that recruitment has continued and is at present accelerating then the monitoring done by this programme keeps the recruitment process in the public eye and provides strong grounds for advocacy but does not change the reality of recruitment, forced or otherwise, for children and their families. The present position where there are different ages of recruitment depending on whether State or non-State actors are recruiting for the armed forces will be a continual block to holding parties to account for under-age recruitment, and we suggest this needs to be addressed. UNICEF can take a lead in advocating change in the international conventions around this issue in order to get compatibility between non-state and state actors.

The aim to eradicate all land mines by 2006 sadly is a long way from being achieved and there is every indication that they are on the increase again. However, there are now a large number of trained individuals who will carry that information where ever they go and there is good evidence from those working in the field that communities are much more aware of the risks of land mines and UXOs and how to report sightings and incidents. This information will be retained within community members and overall makes people less vulnerable to accident. The MRE programme does have a vitally important role in keeping awareness raised in the communities, constantly working at co-ordinating response to reported incidents and working at a national level to try and reduce the use of such weapons. MRE NGOs have been vitally important in UNICEF's recent humanitarian response in the IDP camps by introducing key messages into the Child Friendly Spaces and becoming mainstreamed into the activities for children in the camps. This is important at a time when IDPs return is being pushed by the GOSL, but is not considered "voluntary" by UNHCR and there are considerable risks of UXO/landmines in the areas to which they are being returned.

4.2 Effectiveness of Psychosocial Support Interventions

The development of psychosocial support to people involved in disasters, tragedy and conflicts has been increasingly popular in the last 15 years. The result reported in the 2006 Annual Report was that *'Children and women in all focus districts have had access to psychosocial services through community based organizations, NGOs and Government agencies.'* These services are also now offered to women and children reporting to DCDCs, police and through schools. This result marks a shift in thinking from the 2002 MPO which envisaged the need for such support only in the conflict areas.

Psychosocial support has been criticised as an 'imported' concept which assumes a need but can undermine traditional coping strategies. An assessment funded by UNICEF was undertaken in January 2006 looking at 'What we are looking for and why?' when assessing psychosocial needs. This found that a common response from the humanitarian agencies was an assumption of need for psychosocial support rather than needs assessments undertaken to ascertain what support was needed. Few assessments encompassed the broader social support needs of communities and where these were conducted the focus tended to be on problems faced rather than analysing resources and coping strategies within the community. While much information about the needs of individuals and families would be collected during these assessments there were few mechanisms through which this information could be used to influence programme planning.

Within the psychosocial programme there are various activities, for example Children's Clubs, which concentrate on play activities and Child Friendly Support Spaces are being established in IDP camps. There is recognition within the psychosocial programme that there is a need to mainstream the approach to psychosocial support within existing service provision. A move in this direction is the placing of a consultant in the Ministry of Education to support the project 'Mainstreaming Psychosocial

Approaches through the Education System.’ Work is being undertaken on how to coordinate the ‘sector’ and a Technical Advisory Committee and National Psychosocial Resource Centres have been established. These are the coordinating bodies for the psychosocial network.

Within UNICEF and Sri Lanka there is a confused approach to psychosocial support and it is not clear where and how it sits within the UNICEF programme as a whole. A positive step is that UNICEF was at the time of this evaluation in discussions about developing a shared understanding with NGOs, INGOs and UN agencies. At present there is no consistency of approach and there is a need to draw on the global discussions and analysis about psychosocial support and its appropriateness and application in differing situations. The partners thought that it would be of benefit to do a nationwide analysis about whether the psycho-social approach is making a positive difference as very little monitoring is taking place at the moment and no impact analysis.

It is not clear what the intention is behind the programme. Is the intention to train and have in place a cadre of people who can give psychosocial support as an end in itself or is it to support communities to offer such support? There is a real opportunity to build the approach which psychosocial support infers into the whole of the UNICEF programme, building community capacity to identify and develop strengths and coping strategies and develop capacities of rights holders to claim their rights.

4.3 Effectiveness of Long Term Child Protection Programme

Original Objective: *‘To build the capacity of 60% of families and communities in the focus area in prevention and control of child abuse, exploitation, especially domestic child labour, gender and family based violence, and provide adequate care and support to victims of abuse, and hold perpetrators accountable’* The focus of the child protection programme from 2002 was on supporting children placed in care homes, further developing fostering, and assisting abuse cases arising from women’s migration. Other areas covered were developing child friendly administrative and legal procedures, through supporting Children and Women’s Police desks, District Child Protection Committees and law reform; and developing the quality of care for victims of abuse through drop in centres, care home for girls suffering sexual abuse and monitoring of abuse through supporting the NCPA ChildInfo database and strengthening police surveillance in the detection of foreign paedophiles. Another area for focus was on developing national capacity on psychosocial care and support co-ordinated by NCPA and to support awareness-raising about child abuse, exploitation and gender based violence.

In order to build the capacity of communities to prevent child abuse and to know what appropriate support victims and survivors need it is necessary to have a clear understanding about what the situation is in the particular area, what the particular abuses to children and women are and to analyse who the most marginal and vulnerable are within society. In order to provide adequate care and support there is a need to assess the capacity of the rights holders to claim their rights and the duty bearers to fulfil their obligations and develop strategies which build on these capacities. The following will set out to what extent UNICEF were able to build up such a clear understanding and what constrained it from doing so.

National Frameworks

There is potentially a strong national framework in Sri Lanka for UNICEF to interact with. Sri Lanka signed the CRC in 1991 and submitted its second report in 2003 which elicited some robust recommendations¹⁵ which need to be acted upon. CEDAW, ratified in 1981, has robust recommendations following the report undertaken in 2002 and has strong support from the MoCDWE, as well as an active shadow monitoring system. The National Plan of Action (NPA) 2004–2008 was developed as a result of the UN ‘World Fit for Children’ document after the UN Special Assembly Session on Children in 2002

¹⁵ See annex for CRC recommendations

and was influenced by the CRC recommendations. UNICEF worked with the National Planning Department and establishing the National Plan of Action for the Children of Sri Lanka (NPA) was a great achievement. This develops the multi-agency/sectoral approach needed to support and develop children and provides a framework for all sectors to engage with as this is a new approach.

The National Child Protection Authority (NCPA) was established in January 1999¹⁶ and strengthening the linkages between the NCPA, CRC, NPA, CEDAW and through them the 10 year Sri Lankan Development Framework is critical to the development of a coherent and comprehensive approach to child development.

Establishing accountabilities and supporting national planning.

The next report for CRC (which will actually be the third and fourth reports in one consolidated report due to lateness of reporting) is due by 10 August 2008. The CRC is UNICEF's mandate for engagement with the Sri Lankan government and government should be held to account for ensuring it upholds the spirit and contents of the CRC. This gives opportunity to connect the programme to key child rights issues in Sri Lanka which the government have signed up to and therefore need to deliver on.

There is a need to strengthen the role of the NCPA as a consensus builder and policy and process developer in child protection. Whilst its role in creating awareness, advocacy and rehabilitation and reintegration has been influential this has also taken it close to becoming a primary service provider in individual cases. The objective of the NCPA Act however is to develop an institution that will guide and support other service providers, not provide services itself. Building greater delegation and ensuring the taking over of activities by ministries concerned would expand the programmes and add depth and sustainability. There have been efforts toward this aim, but much more needs to be done.

UNICEF should have a key role in this support, as many agencies had stated that UNICEF is in the prime position to be the key focal point for co-ordinating all work related to child protection and for ensuring that the CRC; and CEDAW; is implemented. However, it has been difficult for UNICEF to influence and support the NCPA until recently as its earlier leadership was reported to be less receptive to UNICEF's capacity building proposals.

The approach of the NCPA, and the government effort with regards to child protection, has been described as 'child rescue' and supply of services rather than prevention. The task was understood and defined within the existing framework of service provision and the criminal law and not internalised upon an understanding of the CRC. The NCPA is presently undergoing a re-structuring as they are now under the MoCDWE. They are looking at all their functions, capacity gaps and needs and where to focus their work. As they are developing a structure plan including a plan of their training needs it is *recommended that UNICEF should focus its efforts on strengthening NCPA's overall capacity.* (Rec 4) This is one opportunity both to assess and strengthen the capacities of duty bearers within the government in relation to child protection, and this opportunity needs to be grasped.

It is further *recommended that UNICEF should aim to build NCPA effectiveness through specific programmes, such as the multi-agency DCDCs.* (Rec 5) NCPA are responsible for them and this is a great opportunity to really develop a multi-agency approach which works at all levels. Information which is gathered at village, district level needs to be fed back to national level to inform policy and practice, and vice versa.

As there is little evidence that the UNICEF programme overall is strategically linking into the CRC, CEDAW and NPA, we recommend that *UNICEF should support the MoCDWE and other ministries to build a robust monitoring system for both the CRC and NPA which would bring both documents alive and hold all parties to*

¹⁶ The NCPA was established 'for the purpose of formulating national policy on the prevention of child abuse and protection and treatment of children who are victims of such abuse; for the co-ordination and monitoring of action against all forms of child abuse and for matters connected there with or incidental thereto' (ref NCPA Act no 50 of 1998).

account for work signed up to and to be undertaken. Support should be given to the CEDAW monitoring and reporting system and linkages to the UNICEF programme strengthened. (Rec 1)

UNICEF should support the production of a CRC Shadow Report to be developed by Civil Society. (Rec 2) This is vitally important to ensure civil society representation and to be able to give voice and visibility to those often silenced by their own vulnerabilities and therefore not being ‘served’ by government planning. A shadow report is undertaken for CEDAW and experience can be drawn from this process. UNICEF SL needs to provide support to activate a shadow report, which can then be taken forward independently by the informal sector.

Child protection needs to be tackled from all levels, building community strategies and responses to prevention and reporting, building services which are responsive to need which are child centred and ensuring that the overarching national frameworks are in place so that appropriate actions can be taken and acted upon. One key area for establishing child’s rights and society’s response to and care for children is within the justice system. The assessment and analysis is in place for necessary legal reform, in the form of the recommendations from the CRC report. UNICEF has been trying to support juvenile justice reform and tried to bring in a Juvenile Justice Procedure Code but this was not taken up by the Ministry of Justice. However, there has been no consistent effort to incorporate the essential principles underlying CRC into domestic law and to review existing legislation and policies to bring national law into conformity with CRC, as recommended in the report.

The Penal Code was amended in 1998 and introduced new offences such as grave sexual abuse, sexual harassment, increasing the age of consent to 16 and prescribing mandatory sentences to offenders. These are steps forward but the concepts are based on a punitive response rather than the ethic of care and the best interests of the child. UNICEF can play a key role in moving the approach from child protection to one of prevention and care. Within the NPA there is a clear plan of action for juvenile justice and UNICEF’s contribution to support this which can be further built upon, as little has been achieved since 2004.

There are various areas where UNICEF have been supporting national effort, for example, a Plan of Action to Combat Child Sex Tourism was launched in 2006, a national initiative for registration and monitoring all children’s homes¹⁷ and the children within them began in October 2006 within the Ministry of Child Development and Women’s Empowerment. Draft amendments made to the Orphanages Ordinance and the legal instruments affecting the work of probation officers have been reviewed and a manual written for probation officers and child rights promotion officers.

A problem which is impacting on child protection is the increasing migration of parents to the Middle East for work opportunities. The Foreign Employment Bureau is the statutory body which registers migrant workers and have the mandate to work with the children left behind. UNICEF is working with them to develop support to women migrating for work and the families left behind, which will help develop the national effort to support children within the community. This is a good example of connecting with some of the causes and taking responsive actions, rather than only addressing the symptoms.

¹⁷ The Tsunami resulted in many children being without primary care givers and to respond to this a national partnership was developed between the Probation and Child Care Services (PCCS), Save the Children in Sri Lanka (SCiSL) and the National Child Protection Authority (NCPA) and UNICEF to set up a response mechanism to deal with the urgent needs of children separated from both parents and not cared for by a legal guardian. The aim was to place children as much as possible with foster parents; this was highly successful and is being built upon.

4.3.1 Conclusions on effectiveness of Child Protection (CP) Programme

Supporting activities which promote technical, material, financial and information assistance. Although there is the potential for the CP programme to take a more comprehensive approach which addresses both the demand and the supply side of the response, the evaluation team concluded that the CP programme is working in a fragmented manner, with many different activities and with many different partners without a networked sharing of experiences. The definition of child protection itself varies between different people and agencies.

An example of this fragmentation is that UNICEF has been supporting the institutionalisation of the District Committees for Child Development (DCDCs). It has also been working closely with developing the Children and Women's Police Desks; which were set up in 1995. This approach is providing a good foundation for multi-agency working, with both the formal and informal sectors involved and has the scope to develop locally targeted community based responses for child protection. For both institutions UNICEF has been supporting them materially and with ad hoc training to individuals within the service but it has not made the necessary linkages towards a more effective national response.

To better institutionalise a state response to abuses done to children and women we recommend UNICEF, in co-operation with relevant government agencies, should *develop national training on rights which is based on legislative and procedural foundations* (Rec 6). At present there is no such training within the National Police College and nothing within the curriculum to support a child and women- friendly approach to policing. There is a course being piloted for developing child protection training for probation officers which could be further developed to encompass police and others involved in child protection. Although the Children and Women Police Desks (CWPDs) and DCDCs are in place government commitment for them is quite low. The CWPDs are seen as a separate bureau within the police rather than a resource to improve the response of the whole police service, and the DCDCs receive little government support, other than coordinator salaries. UNICEF is supporting the CWPD with a data base but is not following this through with building capacity to develop monitoring and analysis of data. This is another example of a disconnection between supporting at activity level and not following this through to achieve real outcomes at the national level.

At present the UNICEF programme is focusing on the supply end of services – the support, for child protection rather than developing the demand, the claims of rights holders. The DCDCs and CWPDs, especially those effectively working, are gathering information about the situation they are working in, are growing in awareness about appropriate responses, the need to build preventative actions and capacities. DCDCs talked to in the evaluation were keen to build a community based response for child protection and were connected with the issues and challenges involved. All this information is not being collected and analysed to ensure the continual development of strategies which are responsive to demand. There are positive steps to ensure the legal status of DCDCs and police desks are secured, such as cabinet approval for the DCDCs at district level, but they still need to be embedded in the national framework and budgeted against. UNICEF has the opportunity, through the activities they are involved in to support government to develop a strong comprehensive response based on community and service deliverers' experience.

Support to women and gender based violence

Despite the fact that addressing family and gender based violence is an objective of the country programme, very little has been developed in the programme. It is not clear how or why this is the case and it is surprising that this is not being given more attention as domestic violence has a huge impact on children and results in child rights being abused, not to mention women's rights. There is an opportunity with the Domestic Violence Act to develop a robust response to gender based violence, developing a top down, bottom up response which demands the Act is put into practice. The UNICEF programme is not actively connecting with CEDAW and the engagement with violence against women has been

restricted to supporting a few homes for women escaping family abuse, as well as the support given to child and women police desks.

UNICEF needs to better understand the national context within which to work with rights and how to introduce them. The HRBA can be seen as an imported concept and so far Human Rights advocacy has failed to communicate its substance and has promoted too narrow a focus. There is a need for a broader focus on how to involve people in their social, political and economic rights, and a clearer direction about whether the approach aims to enforce international child right 'law' or to build government capacity from within to support child rights, with community advocacy.

There is not a strong coherent civil society voice about child protection. The programme works through a wide range of NGOs (many of them small) and supports them individually to help them write proposals, reports and implement projects. This approach is very fragmented and the energy put into developing the NGOs capacities is not directed into a sustainable network. *In order to develop a voice to hold government to account and better ensure a community based response to child protection we recommend UNICEF should work with fewer NGOs and invest in building strategic civil society partnerships which can also be a focus for developing a shadow report for the CRC.* (Rec 7.)

The need for strategic partnerships in child protection

There are many key partners listed for the Protection of Children and Women Programme including the Ministry of Social Welfare and MoCDWE; National Child Protection Authority (NCPA); Ministry of Justice (MoJ); Prisons Department; Ministry of Labour (MoL); Ministry of Education, Ministry of Finance, Planning Department, Children and Women Bureau of the Sri Lanka Police; Sri Lanka Human Rights Commission; National Steering Committee for Mine Action; as well as a range of UN agencies, INGOs, NGOs, and CBOs.

However, solid long term partnerships remain a challenge in child protection in Sri Lanka. There is a lack of a shared concept of child protection and agreed key areas for engagement within child protection. This is true both internally within UNICEF as well as with partners. Child protection demands a multi-agency response, and although, through the development of the NPA and NCPA, different agencies are working together, some key agencies are saying they are not being involved, such as the Police Bureau for Protection of Children and Women.

There has been extensive awareness raising campaigns on child rights, with government staff, in schools, with the police, with communities. For example, in the psychosocial programme by the end of 2006 there had been 62 awareness raising programmes. What is less clear is how this awareness raising has been connected with changing behaviours, attitudes and practice. For awareness raising to be effective there is a need for the messages to be linked to tangible actions which can be taken to demand rights: for example awareness-raising about gender based violence can be linked to the Domestic Violence Act, and how people can use the law to support their situation, and analysis of information from DCDCs and the Children and Women Police Desks can be used as material for both awareness raising and for advocacy.

A constraint on the programme for UNICEF has been the difficulty in recruiting and retaining child protection staff, for example, in Kilinochchi there have been 10 international placements during the country programme, and there have been gaps of staffing in the Colombo office. This has contributed to a fragmented approach to the programme. To compound this there are also changes within the government departments, and changes in the ministries themselves, for example to recent split of the Ministry of Social Welfare into two ministries, which does not help continuity of approach. With the wide range of partners there has not been the chance to build the same sense of national ownership of the programme which has been achieved in the case of education and health. The result is a lack of an agreed clear strategic approach to child protection, and a concentration on individual activities rather than an overall joined up strategic programme.

Identifying unfulfilled children's rights (Situational analysis and Monitoring)

UNICEF is working with a wide range of partners and is gathering a lot of information about people's situations, root causes of denial of rights, cultural responses and what appropriate actions can be taken. In different projects information is being collected on community attitudes, knowledge and response (for example in the MRE programme and the baseline study for developing a Plan of Action to Combat Sex Tourism.) While much information is being gathered at different levels; in schools, in health centres, through Children and Women's Police Desks, in DCDCs; about community, family and individual situations and causes of neglect and abuse, our evaluation found little evidence that findings from the different projects are being collated and used to inform programme approaches

One result of not using this information to inform programming is that there is a 'missing middle' in UNICEF work. There is a lot of work at zonal level which concentrates on activities, but for sustainability there is a need to develop how the experience from these activities informs national policy and practice and how national policy and practice is developed to sustain gains made through pilot activities. At the moment there is a gap in how activities inform national policy and vice versa.

(For a summary of recommendations in relation to Child Protection, see section 6.1 below.)

4.4 The Early Childhood Development Programme

The ECD program underscores the first principle of the Convention on the Rights of the Child: the right to life, survival and development. Thus the programme aimed to improve survival, maximise physical growth and cognitive and psychosocial development of the child.

Recognising the fact that the pre natal period and the first few years of life, determines to a large extent the physical, mental and social health of the individual in later life, the program is planned to cover development of a child from the pre natal period up to five years of life. Thus, the program has three linked components:

1. The care of the mother during pregnancy, delivery and lactation;
2. Early child care and development (ECCD)
3. Promotion of continued development of the child through pre-schools

The program focused on formulating a holistic early childhood development policy, combining health, nutrition, water, sanitation, hygiene and psychosocial development, and it aimed to strengthen service delivery through training of health care providers and improvements in physical infrastructure. The capacity of families and communities were enhanced to ensure care of the girl child, woman during pregnancy and childbirth and to provide a safe loving and stimulating environment for children. The programme's approach to MCH represents a paradigm shift in that the responsibility for care of women and children has shifted to the family.

In implementation an incremental approach was adopted, starting with 15 Divisional Secretary Divisions (DSDs) and 5 estates and targeting 100 DSDs and 25 estates at the end of 2006. Following the CFA, the emphasis in the North and East was to rebuild, strengthen and facilitate service provision for mothers and children.

4.4.1 Key achievements of ECD Programme

Summary Table of Achievements based on Data from 34 divisions where the programme has been implemented since 2003¹⁸

Indicator	Target	2003 value	2006 value
Infant mortality rate	10.5 per 1000 live births	13.9 per 1000 live births	12 per 1000 live births
Neonatal mortality rate	< 10 per 1000 live births	11.3 per 1000 live births	10 per 1000 live births
Low birth weight	< 10% target revised after the midterm review to <15%	12.3%	13.0%
Prevalence of underweight < 5 years	30% in 2000 to 21% in 2006	37.4% (UNICEF survey 2003) ²	26% (weighing during nutrition week)
Vitamin A coverage at 9 months	Elimination of vitamin A deficiency	44.4%	98%
Vitamin A deficiency based on serum retinol levels		36% in 1996	28% (MRI survey 2005)
Anaemia in pregnant women	24% (reduction by a 1/3rd)	30% in 2001 ³	15% in western province only MRI survey

Parents also reported that they observed positive difference in their children:

“I see a difference in my son. He is less shy but happy and easy to look after. He is also very alert and active. Because the clinics are child friendly and have play materials it is easier to bring them to the clinic. They do not cry”.

A mother in Manaragala in her third pregnancy in trying to explain the difference between her first two pregnancies and the present one “I was miserable during my first two pregnancies; I had a lot of vomiting but this time I do not vomit so badly. I feel that my husband and mother-in-law are concerned about me and are looking after me. My husband knows that if we quarrel or he scolds me and I am unhappy it is not good for the child I am carrying. I try not to be angry with any one. I talk to the child in my womb every morning and I feel his response. I feel happy and content”

4.4.2 Assessment of these achievements

The decade preceding the current program cycle recorded a steady decline in the infant and neonatal mortality rates. The decline in IMR was mainly driven by reductions in post neonatal mortality resulting in an increasing proportion (70%) of infant deaths occurring in the neonatal period. The main causes of neonatal mortality were: short gestation, low birth weight, infections of the perinatal period and other respiratory conditions.

Ensuring safe delivery and improving newborn care are therefore relevant in reducing NNMR, the key to further reduction of IMR and also quality of survival. The focus on the neonatal period is relevant and timely; however, in importance it deserves a more concentrated and focused effort. Strategies to reduce neo-natal mortality and morbidity have the added bonus of impacting on maternal mortality and morbidity. Good health and survival while being a right of all women, also has an important indirect effect on child survival and development.

¹⁸ The quality of data from this source is variable, as there is often under reporting of infant and maternal deaths. However, the data on immunisation, low birth weight, vitamin A coverage, nutrition, and prevalence of underweight are similar to other national survey data.

Assessment of Effectiveness of ECD Programme against a Human Rights-based Approach ¹⁹

In relation to *the claims of rights-holders and the corresponding human rights obligations of duty-bearers*, the main focus of the MOH package for infants and children prior to 2002 was on physical growth. The 2002–2006 MPO emphasised the cognitive and psychosocial development, a more holistic approach to the child from conception onwards, thus adding considerable value to the existing package.

Ensuring safe delivery and improving newborn care are relevant in reducing NNMR, the key to further reduction of IMR and also quality of survival. Strategies to reduce neo-natal mortality and morbidity have the added bonus of impacting on maternal mortality and morbidity. Good health and survival while being a right of all women, also has an important indirect effect on child survival and development. These programmes are therefore relevant and timely.

Assessment of capacity of rights-holders and duty-bearers and identification of gaps

In the IECD component, the capacity of duty bearers at the different levels as well as the capacities of duty holders has been assessed and program strategies developed based on these. Gaps in the provision of Emergency Obstetric Care (EmOC) facilities had been identified through an earlier survey and helped to focus programme inputs in this respect. In the pre-school component, underlying causes for non realisation of rights have been identified partially through the national pre-school survey. Coverage, management, financing and essential services offered in pre-schools have been documented. The evaluation team believes that the problems encountered in the implementation of this component could have been anticipated if more attention had been paid to assessing the capacity of partners in the planning stages.

As regards M & E, and in particular the monitoring of both outcomes and process, the MOH has a strong system to monitor process. Since components of the IECD programme other than the psychosocial component were already in the MCH package of the MOH, routine systems of the FHB (through return H 509), were used to monitor and evaluate the ECD component.

The impact indicators summarised above suggest that the ECD Programme is on track to achieve its objectives, and these indicators are consistent with the long term improvement of most health related indicators in Sri Lanka. While therefore these improvements cannot be attributed solely to the ECD Programme, we can say with confidence that the programme has contributed to these achievements. However outcome indicators have not been developed either for the new component of psychosocial development, or for the measurement of community empowerment and behaviour change, and such indicators would be very helpful in determining the success of these components of the programme. (See section on M & E below)

Focus on marginalised, disadvantaged and excluded groups

In selection of areas for implementation, the focus has been on the more disadvantaged districts and DS divisions thus aiming to reduce geographic disparities. The programme has been implemented in the estate sector where the MCH indicators still lag behind the national figures, although great improvements have been seen in the sector in recent years. In the North East provinces priority was given to improving services for mothers and children. The lack of attention to differently-abled children is a serious gap in the ECD programme, which was noted in the external validation workshop.²⁰ This gap has also been stated in the other programmes.

4.4.3 Conclusions in relation to the effectiveness of the ECD Programme

The home based component of the ECD programme has been successfully implemented and incorporated into the existing MCH programme and has added a holistic approach to child development which was earlier lacking. The programme has reached families and communities with information that

¹⁹ The headings in this section are from UNICEF's PPP Manual, p.7.

²⁰ See also unpublished paper by Diane Paul *UNICEF Sri Lanka & the HRBA: from Principles to Practice* (2004) – p.17

is easy to understand, culturally appropriate and importantly has included the whole family, not just mothers. At family level the programme appears to have positively influenced the perceptions of families towards care of women and children. The participation of men in the care of their wives during pregnancy and their involvement with child care was reported during field visits.

Field visits demonstrated that the methods advocated for cognitive, social and emotional development have been well accepted and are being enjoyed by both parents and children. A reason for this acceptance may be the expected outcome of improved intellectual achievement in the long term.

Although many of the programme activities are known to influence nutritional outcomes, *in our view the MPO did not give sufficient attention to the issues of low birth weight and childhood malnutrition*. Child under-nutrition, is addressed indirectly through reduction in low birth weight, improvements in growth monitoring to minimise growth faltering, increased knowledge of care givers on infant and child nutrition and improvements in access to water and sanitation. These activities have been included in the MCH package delivered through the government system for a long time with a somewhat limited impact on malnutrition.

4.5 Effectiveness of Learning Years Programme

The programme goal of CP 2002–2006 was to contribute to the achievement of universal access to quality basic education for all children through increased rates of school attendance and learning achievement in targeted disadvantaged communities. The community component of the programme was implemented in communities in disadvantaged DS divisions in 11 districts. The service provider component targeted the schools and non-formal centres in the same DS divisions. The sub-national component intended to cover divisional, district and provincial administrations in all 11 focus districts. District and provincial authorities have selected the focus DS divisions against set criteria. The input of UNICEF support comprises of TA support, supply of school kits and equipment, construction of permanent, semi permanent and temporary structures, budget support for training activities and development of training manuals, guidelines and other materials. Though this programme has tried to improve ability of ‘claim holders’ (primarily school-age children and their parents) to assert their rights, and duty bearers (e.g. teachers, educational administrators, parents) to discharge their duties, we found it more difficult to apply HRBA in the evaluation of the LY Programme compared to the other programmes. This is mainly because issues of human rights have been implicit, rather than explicit, in the programme design, and in practice it has been implemented as a normal education programme.

4.5.1 Five Year Objectives of LYP and achievement status

The specific objectives of the LY Programme and their achievement status are described below.

Increase the percentage of children completing the primary cycle in UNICEF focus districts to at least 95 per cent

SL has achieved 98% primary school completion as per the national data though this very high figure is not seen as a true reflection of the situation in the NE provinces. UNICEF has worked together with its education sector government and NGO partners to address the issue of quality and access to education. Improvement of school health and hygiene facilities and upgrading the physical facilities, introduction of child friendly school concept, attendance committees and local school support committees have all helped improve school enrolment and attendance.

Improve achievement of essential learning competencies (ELC) to at least 50 per cent of children in focus districts

UNICEF has been working with the MOE and National Institute of Education towards improving the teaching quality by supporting the curriculum revision, teachers training, training of In-service Advisors (ISAs), improving and developing monitoring capacity of the education sector human resources at provincial, district and zonal level. Annual reports indicate that the targeted numbers for various

training and review meetings has been achieved. The indicators and criteria for essential learning competencies have been defined and monitoring against these criteria is being promoted. Efforts have been made to make the review meetings, supervision visits, and reporting practices more effective involving the Principals, ISAs and education sector staff at all levels. Training modules and guidelines have been developed and put in practice.

While these interventions have been useful, overall the quality of education is largely related to the attitude and motivation of the ISAs, Principals, teachers and other staff. Low incentives and facilities for the delivery level staff, lack of trained teachers and poor physical facilities at the schools have been the key constraints towards the fullest achievement of this objective.

Although in relation to the HRBA this strategy was clearly aimed at helping ‘duty bearers’ to discharge their obligations more effectively, there has not been any base line study regarding the numbers of students with low competency to establish what are the actual achievements in this aspect. In absence of such data it is difficult to establish how many children of low competency levels have improved and to what level.

Standardise Catch-Up Education material for Northeast Province

UNICEF has worked with National Institute for Education (NIE) to develop and produce Catch-Up Education material. These materials are being used in the programme areas. UNICEF and NIE have been also working towards improving the materials on the basis of the feedback received from the practitioners, with strong involvement of ISAs and teachers.

Support completion of the sector-wide strategy plan for education sector

SL has moved towards Sector Wide Approach (SWAp) in the education sector. The Education Sector Development Framework Programme (ESDFP) became operational since 2006. There is very little institutional memory regarding the contribution of UNICEF towards this objective, though according to the UNICEF Annual Report for 2006 *‘UNICEF consistently advocated for the inclusion of a rights-based approach within the ESDFP’*. The ESDFP is seen as a key instrument for the planning and programming in the education sector by the central and provincial governments and the projects that are being implemented through UNICEF support are basically derived from the ESDFP after it became operational.

4.5.2 Overall Effectiveness of LY Programme

The partners’ perception of the achievements in relation to the UNICEF supported programmes is mostly positive at all levels. The key outcomes quoted at the Provincial and district levels are that:

- Enrolment of the students at primary and higher level has improved,
- Access to education has also improved because of the CUE coverage and mobilization of parents attendance committees,
- Learning Competencies of the students have also improved
- Child Friendly Schools (CFS) concept is becoming popular and effective among principals, teachers, students and parents
- The competency level of ISAs, teachers, principles and education sector administrators have also improved because of component focused capacity building activities.

These perceptions on the achievements have been also confirmed by the central level authorities, but since there has been no regular analysis of data it is difficult to validate these achievements quantitatively.

Overall the longer term involvement in the education sector (15 years) with different activities at different levels has developed a good reputation for UNICEF among the government partners; they consider UNICEF as a reliable donor partner. UNICEF has been one of the key stakeholders in the

Education Sector Development Framework Programme development process with the government, but UNICEF is not among the pool donors of this Sector Wide Approach. In the conflict areas UNICEF's visibility has been instrumental for the government agencies to run their education sector activities.

However the LY Programme covers a wide spread of activities and stakeholders from national level to district level, and this has created a thin spread of its resources on many types of activities.

Thus UNICEF's support has not helped improve long term capacity gaps of government agencies in relation to planning, monitoring, and evaluation. Equally as the programmes are so scattered it is very difficult to get a clear picture of consolidated outcomes.

4.6 Effectiveness of Adolescence Programme

The overall goal of the adolescence programme is to enhance psychosocial, cognitive and emotional coping skills and to develop life competencies of adolescents and promote their participation in decision making processes that affect their lives for a better transition to adulthood. The objectives were to be achieved through community capacity building for adolescence, improving service delivery and strengthening sub national and national capacity for adolescence. The implementing partners are the Ministries of Health and Education, the national HIV/AIDS Control Programme, Plantation Human Development Trust, the National Youth Services Council, Sarvodaya and other NGOs.

Planning for adolescents was relatively new at the time programmes were formulated and there was a dearth of information on adolescent needs. This deficit was addressed through a national survey on emerging issues among adolescents covering both young people both in-school and out of school.

A good programme practice observed was the participation of adolescents and youth themselves in the planning process. The strategy was to reach adolescents through a peer education approach in schools and through the development of multimedia material.

The programme has been effective in bringing adolescent issues and concerns to the forefront at national level, and in bringing adolescents into planning processes at national level. It is difficult to assess the degree to which the benefits of different activities have reached the adolescent community. Where peer education was used as the approach, although the number of peer educators trained is available, there is no way of assessing how many others were reached by the peer educators. The peer education activity observed did not appear to reach widely; an observation made in a school visited where the programme was being implemented. NGO partner capacity also appeared to vary greatly, some having national reach while others were limited to a single community served by 2–3 NGO staff and the effectiveness of the approach is difficult to evaluate.

At the community and service provider level the programme reached adolescents using many avenues and strategies. In 2004, the programme was re-organised along thematic lines moving away from the national, sub national, service provider and community approach. A wide range of information emphasising prevention of alcohol, tobacco and substance abuse, as well as STD/AIDS, were provided. A feature of the program was that it reached disadvantaged districts as well as districts affected by the conflict.

In some districts adolescents were reached through health clubs in schools supported by the school health programme of the MOH. Youth who were not in school were accessed mainly through the National Youth Council but in some districts NGOs were supported for youth programmes in the community. The estate youth were reached through youth clubs but the programme only reached a few estates.

4.6.1 Conclusions on the Effectiveness of Adolescence programme

Adolescents comprise nearly one fifth of the total population of Sri Lanka and as they are a group vulnerable to many risks, it was relevant to include programmes for this group. In comparison with

other health programmes in the country adolescent health is an area that has not received much attention. It is also in keeping with the life cycle approach to planning adopted by UNICEF.

However this has been a very small programme on which UNICEF has spent on average about 2.5% of its (non-Tsunami) budget for Sri Lanka, and its effectiveness is very difficult to evaluate without better data about the knowledge, attitudes, and practice of the adolescents concerned. From both an HIV/AIDS and wider UN perspective it might have been more effective to use these funds to target the most at-risks groups in society (e.g. sex workers) rather than focussing on young people in school.²¹

5 Capacity Building

This section reviews the capacity that has been built at different levels in different programmes, with reference to the community level, service delivery level, supervisory levels (provincial & district) and national levels. It also looks at the sustainability of this capacity, and the most significant remaining capacity ‘gaps’ on which UNICEF needs to focus in its future programme. As with the previous section UNICEF’s HRBA model is used to make this capacity assessment.

Summary Table: Evaluation Team’s Perceptions of Changes in Capacity within Key Sectors and Remaining Capacity ‘Gaps’

Sector	Changes in capacity noted	Capacity Gaps Identified
Child Protection	Improvement in community capacity reported in respect of child abuse and also Mine Awareness Little evidence to suggest NCPA is stronger now than in 2002 National capacity remains fragmented & subject to frequent changes in mandates of different ministries & leadership	– No formal monitoring of the CRC – No shadow monitoring of the CRC (by civil society). (both the above applies to whole programme) – No strong coherent civil society voice advocating on behalf of child protection in Sri Lanka – No systematic monitoring and action taken of the NPA throughout government delivery, – Information from the CRC recommendations or from experience at the community and activity level not being used to feed into advocacy to inform policies, laws and practices
Learning Years	Good progress in terms of national indicators, but reasonable institutional capacity existed in 2002, so harder to define major capacity improvements. CFS, CUE, Attendance Committees now established – Sector Wide Approach now well established	Even in the context of this relatively strong capacity this evaluation identified the following gaps: 1.No systematic Institutional Capacity Assessment undertaken by MOE or UNICEF 2.Weak planning, monitoring, & supervision 3.lack of physical facilities such as classrooms and residential facilities for teachers and Principals in some rural areas. 4.Lack of physical facilities such as classrooms 5.Lack of teachers & ISA's in some areas
ECD	While overall capacity was also strong in 2002, ECD programme has strengthened capacity both at delivery & supervisory levels, in particular on the part of midwives. Also Training capacity of FHB has been strengthened	1.No single ministry can be held accountable on nutrition issues 2.No implementation of minimum standards for Pre-schools 3.Delays in clearing supplies, equipment and vehicles by MOH 4.Lack of MOH staff in some rural areas 5.Lack of capacity of the Health Education Bureau (HEB) at district level to support community empowerment 6.MOH has a limited ability to maintain & service donated equipment

²¹ Based on a meeting with UNAIDS

Sector	Changes in capacity noted	Capacity Gaps Identified
Adolescence Programme	No strong evidence of any sustainable national capacity as a result of this programme	

5.1 Child Protection: Capacities built, Capacity Gaps and Sustainability

The aim of the CP programme was *‘To build the capacity of 60% of families and communities in the focus area in prevention and control of child abuse, exploitation, especially domestic child labour, gender and family based violence, and provide adequate care and support to victims of abuse, and hold perpetrators accountable.* This section explores what has happened in relation to this capacity using UNICEF’s HRBA model:

Unfulfilled rights. Situation analysis and monitoring

A Sri Lanka Situational Analysis for Women and Children (not only for child protection) was undertaken by UNICEF in 2004, but has never been published. A foundation of information for the whole programme is there to be built upon. The CRC last report was undertaken in 2003, and there is some monitoring of the National Plan of Action for Children by a Steering Committee of the GOSL. However there is still a need for improved monitoring of the CRC to enable the Government to build a national response.

A key capacity Gap is that there is no formal or shadow monitoring of the CRC (by the informal sector). The capacities of both the formal and informal sectors has not been enabled which would better ensure a sustainable development of child protection response based on realities on the ground, both within government and in civil society. Through this monitoring systems and practices put in place can be constantly developed to be responsive to need and accountable to children.

Claims/advocacy and social mobilisation

Capacities have been built with individual NGOs to implement activities to deliver on differing child protection issues, for example, psychosocial support, children’s clubs and mine risk education. Within these activities individuals and communities have been enabled to recognise and demand their rights, for example in children’s clubs children are more aware of government structures and their responsibilities and have engaged with them to demand services, also DCDCs at community level have engaged in similar practice.

A further gap is that there is no strong coherent civil society voice advocating on behalf of child protection in Sri Lanka. Investment in capacity building of civil society network will strengthen the demand voice to government and community based action for child protection.

There are no formalised channels through which the experience gained from the Children and Women Police Desks and the DCDCs can be fed into the national deliberations about changing legislation and law and practices to enable a more child centred approach. The Children and Women’s Police Desks have a centralised data gathering capacity, and the DCDCs have the potential for this through the NCPA. This capacity needs strengthening to build a sustainable response based on actual experience and need.

Duties, accountabilities and support for national planning

As discussed above the National Child Protection Authority (NCPA) was set up in 1999 and is the key co-ordinating body. UNICEF has supplied material and training but has not been in a position to offer TA to enable it to become an effective and authoritative agency. Previously this was difficult as such support was not ‘wanted’ but now there is an opportunity to support NCPA in restructuring. There is an ongoing opportunity to support a National Plan of Action for Children which develops a multi-

agency approach to child protection through looking at all the different sectors, formal and informal, that need to be involved and developing plans of action for each sector's involvement. There is already a multi-agency steering committee in place which has been sporadic in its activity and this can be built upon as a way of further developing a multi agency response in relation to CP.

The capacity gaps in this area are that, first, there is no systematic monitoring of the NPA throughout government delivery, looking at what is working and what is not, establishing how it links into wider planning and decision making and looking at budget promises and realities. This diminishes the effectiveness of the NPA as it is not monitoring outcomes in relation to overall development goals of Sri Lanka. There is a lack of linkage between NCPA, NPA, CRC and CEDAW to ensure that each is supporting the intentions of the other.

A further gap is that information from the CRC recommendations or from experience at the community level is not being used to feed into advocacy to inform policies, laws and practices. The CRC recommendations have been well researched and following them up provide a very good guide for progress. Much information being generated from DCDCs, Children and Women Police Desks, psychosocial programme, children's care centres, and from women seeking refuge from domestic violence, all of which can be used to develop advocacy and social mobilisation.

Support Activities: technical, material, financial, & other assistance

A key constraint in both UNICEF and government is the lack of constancy with staff and government structures. Within UNICEF there have been difficulties in recruiting and retaining staff in child protection and within government there is recognition that staff need to be better trained and retained for longer periods.

A further capacity gap is the lack of a common understanding of, and approach to, child protection within UNICEF, government and civil society. As it is recognised that capacity is not strong within all sectors to develop a coherent response to child protection, investment needs to be made in documenting community experience, and through assessing capabilities and competencies within staff and building their capacities accordingly.

5.2 Learning Years: Capacities Built, Capacity Gaps and Sustainability

Compared to child protection Sri Lanka already has well-established national capacity. UNICEF has supported capacity building of its partners in the education sector through various interventions at Central, Provincial and District as well as Zonal level. However this work mainly focuses on the 'Skill and Knowledge' aspect in the form of training manuals, guidelines, and training events.

This approach covers the 'individual capacity' in the different activity areas but there have been less interventions aimed at the improvement of internal systems and practices, and the logistic capacities of government partners at all levels. A major issue is the lack of Education Administrative Service staff and Teachers at the provincial and district level, and the flow of school Principals and ISA's into provincial and district level education offices

While the provincial and district education authorities do not as yet see any negative impact from this movement of experienced teachers into administrative work they do have some concerns about the impact on planning and monitoring functions given these teachers lack of relevant experience and training. This indicates that there is a need to review the current staffing structures, workload and staff numbers at different levels in order to develop a more effective management system for the whole education sector.

In education UNICEF does not appear to have a capacity building plan with a clear assessment of current capacity gaps, and a phase-out and sustainability strategy. In the absence of such a strategy capacity building activities seem to be mainly focused at individual level through episodic training events.

The program intervention strategy of UNICEF has targeted the National, Provincial, District and Divisional level for building capacity. SL has already achieved MDG in the Education Sector, and has demonstrated relatively strong capacity, especially at the Central level and agencies like NIE.

There are other dimensions that require capacity building such as building accountability through effective planning, and mobilising ‘rights holders’ for making claims. Technical capacity building at central, provincial, district and zonal level have been the key strategy of the support approach of UNICEF but there is a case for still more investment at the level of service delivery. On the ‘claim making’ aspect UNICEF has supported the development and implementation process of the user’s participation mechanisms in the education service management such as Attendance Committees, Parents Committees and other community support groups, but working at four levels in almost every intervention has made UNICEF’s support too scattered.

Too few interventions have been made which improve the planning and monitoring systems and practices at the provincial level and below. At central level UNICEF has supported the placement of a GIS based information system. Analytical use of the information available through this information system may lead towards effective planning for special needs in the education sector to improve the access and quality situation.

Although the government has a SWAp in the sector, still the ESDFP is underfinanced and the provincial agencies are facing difficulties in financing many planned activities and look for donor support. Because of the flexible funding available from UNICEF to implement their regular activities the district and zonal partners are very much appreciative of UNICEF for its support. But this tends to reduce UNICEF to a ‘gap-filling’ role.

As regards sustainability UNICEF has been supporting training activities on multi grade teaching, child friendly schools, participatory school management and other areas. All of these interventions include manual and guidelines development and master trainers training activities in close collaboration with government partners at central level and provincial/district level. The problem is that the actual training programmes still lack regular funding from the government sources and can only continue with donor support.

The *capacity gaps* identified by government partners include:

- the lack of physical facilities such as classrooms, residence for teachers and principals in the remote areas,
- the insufficient numbers of Education Administration Service Cadres (mentioned above.),
- the lack of sufficient teachers in rural areas, and
- the weakness of the monitoring and supervision system.
- a shortage of funding worsened by low disbursement rates of allocated funds.

5.3 Capacity Building in the Adolescence Programme

National capacity to plan for adolescence was strengthened through the establishment of a National Steering Committee on Adolescent Health. A draft Adolescent Health Policy has been developed and is in the process of being adopted. The programme actively advocated for adolescent friendly health services and was able to help establish the first such service in a teaching hospital and sensitise health workers in this respect.

UNICEF supported the development of guidelines on Life Skills based Education and improving the capacity of the Life Skills Based Education Unit of the National Institute of Education (NIE) and in the

training of trainers at national level. In the focus districts teacher capacity was enhanced to use participatory teaching approaches and techniques to help develop life skills in students. Life skills education has been accepted by the MOE and now forms part of the secondary school curriculum. In some districts where the MOE has included life skills based education in the curriculum, the activity was supported by UNICEF. To this extent therefore the Adolescence Programme has helped build national capacity.

Any future planning needs to take into consideration the fact that currently there are many actors in reproductive health and HIV/AIDS education aimed at adolescents, some with far greater resources than UNICEF. A major constraint is also the fact that there are still walls of silence surrounding adolescent reproductive health, STD /Aids contraception issues at the level of schools, parent and communities although the adolescents themselves have identified knowledge in these areas as a need.

Sustainability

Sustainability of the programme in its current form of implementation at community level through NGOs is low. There is no evidence to believe that the implementing partners other than the MOE and MOH would continue activities that have commenced.

5.4 Capacity Building in the ECD Programme

The program partners for the home based ECD component have a clear vision and stated goals. The program is relevant and is well integrated into the existing MCH package. Performance goals are clearly identified; targets are available for expected outcomes and impact on five of the 6 objectives. Indicators for measurement of the objective of improved cognitive, social and emotional development have not been identified.

Capacity to deliver the integrated package of ECD has been strengthened at all levels of duty bearers through technical, material, informational and financial assistance. A multi-sectoral team of national experts have been established at FHB level, responsible for training of trainers and the development of training material including manuals and a communication package. UNICEF facilitated this by providing opportunities for Programme Managers at the national level to be exposed to current knowledge, interact with experts in the field, to update skills and observe similar activities in the region. The FHB conducted programs to train trainers at district level who in turn trained all field staff and volunteers who would promote care practices at family and community level through home visits, out reach clinics and parent groups, and the evaluation team judges FHB's training capacity as relatively strong.

The programme recognises people as key actors in the development of their children. Improving parenting skills and in particular the knowledge and attitudes necessary for care of girls, providing a loving and supportive environment for the pregnant and lactating mother, promoting increased food intake during pregnancy and reduction in domestic violence are the new approaches that the ECCD program has added to the existing MCH package.

Natal and neonatal care: Examples of capacity building

The IECD program addressed natal and neonatal care through strategy formulation, training and infrastructure development.

- Labour rooms were renovated and equipped. Where institutions were destroyed either by war or the tsunami they were built better.
- Based on needs assessment surveys carried out in 2001 and 2002, equipment and supplies for Emergency Obstetric Care (EmOC) and neonatal care were provided to all districts where the ECD program was implemented.
- Ambulances were provided to peripheral hospitals, 80 medical officers were trained in neonatal resuscitation and a national resuscitation training centre was set up at the Lady Ridgeway Hospital for children.
- All institutions within the MOH with more than 100 deliveries per month were equipped with digital scales to ensure accurate recording of birth weight data.
- Financial support was provided to the MOH to carry out district maternal mortality and perinatal mortality reviews and to set up mechanisms for regular reporting of perinatal mortality statistics. Confidential inquiry into maternal deaths and inquiry into near misses have been established in selected districts.
- The breast feeding code was revised, lactation management centres established and institutional and field staff trained in lactation management. A strategy document outlining key interventions for the prevention of mother to child transmission of HIV has been developed.

Water and sanitation

The program sought to provide a safe environment for children by increasing access to water and sanitation. This component was limited at the beginning to building around 100 latrines per MOH area and providing water points consisting of shallow wells, tube wells and family water schemes. The activity benefited from increased technical support resulting from the formation of WASH following the tsunami. This resulted in expansion of this activity to include upgrading water and sanitation facilities in schools and pre-schools as well as medical institutions.

Support for immunisation

Another key area of support through the ECCD program has been immunisation services, the implementing partner being the Epidemiology unit of the Ministry of Health. A key achievement was the development and implementation of Standard Operating Procedures for Vaccine Management jointly with the WHO and Ministry of Health.

UNICEF together with WHO supplied solar powered refrigerators and facilities such as cold rooms, vaccine transport vehicles and other equipment. UNICEF procured measles vaccine for catch up immunisation and facilitated catch up immunisation in the North and East especially in the “uncleared areas” through negotiations with the parties to the conflict.

Capacity built with respect to Nutrition

UNICEF has tried to develop a national nutrition policy and has facilitated the development of a National Plan of Action for Nutrition. The MOH in collaboration with UNICEF and other development partners drafted a National Communication Strategy on Nutrition and but this is yet to be implemented.

In relation to the elimination of Iodine deficiency national laboratory facilities for testing urine iodine, salt iodine and a neonatal screening facility for hypothyroidism have been set up and are working. Two quality control laboratories have been set up at the two major salt producers in the island, Putalam salt Ltd. and Hambantota Salt Ltd. UNICEF has supported the MOH with kits for testing iodine content of salt at household level for use by midwives and Public Health Inspectors.

Rapid assessment methods were developed and nutrition surveillance established in the tsunami affected areas.

Capacity built with respect to Pre-school Programme

A national pre-school survey was carried out in 2003 and this has provided information necessary to enable these schools to fit the concept of “child friendly development centres”. Following this “minimum standards” for transforming pre schools to child friendly development centres have been developed but difficulties have been encountered in implementing these standards.

Advocacy towards implementation of these standards has been poor. The key partner Children’s Secretariat came under 4 different Ministries/secretaries during the period under review. A multitude of players are involved and there is a lack of clear ownership and accountability in regulating pre-schools.

Capacity gaps in ECD Programme

Lack of clear accountability, responsibilities for coordination and managing nutrition programmes at national level has been major constraint in implementing nutrition activities. The MOH has a Director for Nutrition, a separate Nutrition Co-ordination unit, and a nutrition department in the Medical Research Unit. Responsibility for maternal and young child nutrition as well as nutrition during the school years is handled by the FHB.

A main constraint for program implementation was the delay in release of funds from the Ministry of Health, resulting in delayed release of money to districts for field training. This was overcome by arranging direct release of funds from UNICEF to districts. However, districts have limited capacity for planning and management of programs. When funding increased the districts had difficulties in absorption. Construction and repair of facilities have been delayed by the fact that the provincial/district health authorities have to depend on technical support from officers from other departments. These delays have resulted in low utilisation of funds, return of funds and blacklisting.

As regards increasing the capacity of communities, Community mobilisation and behaviour change communication strategies were planned, and action plans and tools for monitoring community change were developed. Although women/parent committees have been established in programme focus areas and these work with the midwives, the evaluation found that due to weaknesses and lack of capacity in the Health Education Bureau especially at district level, communities have not been empowered to the extent planned.

There is considerable delay in clearing goods, supplies, equipment and vehicles from the port, a responsibility of the Ministry of Health.

There is clear need for advocacy, social mobilisation and capacity building in terms of technical and material assistance in all partners of the pre school programme.

Sustainability of ECD Programme

A key strength of the program is its acceptance by service providers at all levels and the community. A major proportion of the ECD activities reaches the community through the existing public health network and has been well integrated into the system. In the plantation sector activities are implemented through the Plantation Human Development Trust jointly with DPDHS. At the end of 2006, the program has exceeded the targets, an indication that the Ministry of Health will continue to accord priority to this programme.

ECCD approach with emphasis on the psychosocial component has been incorporated into the pre service training curriculum of midwives. A core group of expertise as well as the communication materials necessary have been developed at central level. The approach has been readily accepted by the community. All the above factors enhance the continued sustainability of the program.

A main constraint for program implementation is the high turn-over of district level trainers, especially in difficult areas necessitates re-training of new personnel from districts where training of trainers has already been carried out. Another constraint felt as the program expanded was the shortage of health

staff, PHMs in particular. This was very acutely felt in the North and East, in the Estates and in poor districts such as Manaragala. Area-based recruitment for training, even at the expense of compromising minimum entry criteria appears to be a solution. This kind of area-based recruitment would have the added advantage that the health care provider feels a sense of “belonging” as well as increased acceptance by the community. Even where staff is available, there is concern expressed that the increasing work load placed on a PHM may interfere with their capacity to effectively carry out her primary duty of caring for mothers and children.

Sustainability also depends on the Ministry of Health being able to maintain the enthusiasm and momentum that has been generated. This may need refresher training, updating knowledge and the supply of newer and more attractive communication approaches as well as strengthened monitoring and evaluation procedures.

The program has supplied a large quantum of equipment, especially to the smaller health care institutions in the periphery. *A key to proper utilisation would be maintenance and repair of equipment. This is an area that is not well developed within the Ministry of Health and may therefore affect the sustainability of intended interventions.*

The implementation of the preschool component has been incomplete, and as such does not yet appear to be sustainable.

5.5 Conclusions on Capacity Building

In relation to capacity issues, the team found that there is no shortage of overall capacity amongst Government partners in Sri Lanka but that there are strong imbalances within the system. The team concluded that at least in the Ministries of Health and Education there appeared to be adequate capacity at the Colombo level, but with a far more mixed picture at the Provincial and District levels. There was far less capacity even at the centre in the case of the Ministry for Child Development and the NCPA. In child protection, capacity tends to be fragmented amongst a large number of different agencies. Some of the partners at district level, e.g. the DCDCs had a vision of what they wanted to achieve which was not being supported by the national level.

6 An Assessment of UNICEF’s Capacity and its Ability to Build the Capacity of Partners

Many UNICEF documents assume that UNICEF has a strong capacity building role. This is expressed in different formulations, and is sometimes referred to as an ability to close ‘capacity gaps’.

In this evaluation we came to question some of these assumptions round capacity building. First there are obvious questions about whether a large donor agency is best placed to undertake capacity building work. Some external funding can, at least temporarily, reduce partners’ capacity to deliver on core business if it requires them to give up a lot of time for meetings or to prepare proposals and reports. Secondly the existence of external funding can distort incentives: staff may be allowed to go on UNICEF-funded training courses because they are free, but their employer may not give them any support in implementing what they have learned once they return to their normal jobs.

During the evaluation the following issues were raised most often with respect to UNICEF’s own capacity and how it relates to Government capacity:

1. UNICEF, rather than the partners is still seen as dominating the planning process. At the moment UNICEF invites the government partner to the annual review and then works on the UNICEF plans, in the UNICEF sectors, which are presented to government. Some Government partners would like a more equal process where UNICEF was part of the circle and not on the outside directing their own planning.
2. There is confusion about UNICEF's systems, and in particular about when it requires a new proposal to be written. Where this demand is made, it can be seen as drawing down (and even draining) government resources rather than building them: for example one District official had to write 36 proposals, which took him away from focusing on his own job. However, UNICEF Operations staff confirmed during the Validation Workshop that once a project had been approved as part of an Annual Work Plan its procedures did not require a further proposal. At the very least there seems to be incomplete understanding of UNICEF procedures amongst both staff and partners.
3. The fact that both UNICEF and the GoSL share the same financial year offers a great opportunity for joint planning. However, in practice UNICEF finalises its plans some months later than the GoSL. A greater flexibility from UNICEF's side in relation to this planning timetable would allow more joint planning, increase government 'ownership' in the CPC, and reduce transaction costs.
4. We found that too much time of some the GoSL staff at Provincial and District level is being spent on financial accountability to UNICEF. This approach focuses the work at activity level rather than how it is connecting into the government plan. This does not help build government capacity for integrated planning
5. *Payments*

"We have the impression that UNICEF is just working for its finances and not for the project"

NGO in Vavuniya.

The vast majority of partners and UNICEF staff said that following up CAGS and accounting for projects took up a vast amount of time and very often resulted in projects not being able to start or continue when they needed to. Under current rules an advance is only given for three months in which time it must be fully liquidated before getting a further payment. This system means that all work may have to stop and is very disruptive to achieving results. From the Zone Office perspective it seemed there was little trust and unnecessary bureaucracy, for example, a Children's Club was having a two day event and children wrote names on the first day registration form and on the second day some of the children wrote their names a bit differently; payment was held up by UNICEF because of this 'discrepancy'.

There were similar stories from government as well as NGOs, examples such as a project due to start in February had to be delayed until July; one NGO said they were still waiting to get payment for a project in 2005. If the smallest mistake is made, then delays of 4–6 months are not uncommon. In one UNICEF office staff say that at times 75% of their time can be taken up with processing financial returns, chasing up paperwork and resending paperwork to Colombo which had got lost in Colombo.

Since 2006 the CO management team has been giving this issue top priority. The current 'crisis' (as it is described by many staff) is the result of several factors – the huge expansion of the programme since the Cease Fire Agreement and Tsunami, the growing implementation difficulties and low absorption capacity as a result of the renewed conflict in the North and East. But these external factors beyond UNICEF's control have been worsened by an over-rigid and over-centralised financial system. There are moves to channel more funding through the central treasury; and further changes are imminent with the introduction of the UN's Harmonised Accounting System (HACT),

but neither of these changes seems likely to solve the short term problems. We return to these issues in the conclusions and recommendations.

6. *Capacity of UNICEF staff:* Within the UNICEF programme there is a high turnover of staff, for example in Kilinochchi there have been 10 international staff in 3 years. This can make it difficult to build internal capacity, have a consistent response and to capacity build partners and national staff. International staff by their nature are on short term contracts and it would help to build consistency through developing long term capacity national staff so that capacity can be systematically built within partners, formal and informal. Not all staff within the programme felt they had adequate skills and support to undertake their work. There is a high concentration on developing and following through individual activities at zonal level and less concentration on developing a strategic overview of the sector and building staff capacity to respond to this, for example, through developing skills in assessing and describing need, working with strategic community capacity building, developing monitoring skills to feed into programme decision making.
7. This self criticism by some staff about their own skills was supported by the perceptions of some Government partners that there is sometimes a lack of skills within UNICEF to follow through on work and to give advice on technical issues and approach. One example given was when developing the Social Care Centre programme there was no internal UNICEF capacity: they felt the person employed to develop this programme was inadequately skilled. A further perception from some Government partners was that they found some UNICEF staff too young and inexperienced in relation to the responsibilities they faced.
8. *Lack of awareness of HRBA Approaches:* This evaluation found that, given the rapid turnover of staff, many newer staff in particular have a poor knowledge of HRBA and have not really either understood human rights concepts, or have not 'internalised' the ways in which HRBA might alter their approach to their work.²² In particular in Zonal Offices we found that HRBA is not fully understood and staff, although anxious to apply the principles, had not been equipped to do so, and had rarely received relevant training which they could apply in their work; especially in their work with partners. Yet there is a lot of experience from organisations globally about how to integrate a rights-based approach into operational work.
9. *The institutional memory* within UNICEF Sri Lanka seems weak. New staff say they are not fully briefed about past decision making in relation to why the programme has developed in the way it has nor why a particular direction has been selected. This can then lead to each new staff member bringing their own agenda and approach without it necessarily building upon agreed programme vision. One indicator of this weak institutional memory is that reviews and evaluations undertaken do not always seem to be sufficiently used to inform decisions and directions, and it is often difficult to locate them, which suggests they are not active documents. There are documents which are used and given priority by the CMT, such as the review of the Action Plan, the Tsunami evaluation and audits, but there is still a need to ensure that other reviews and evaluations remain accessible, especially for new staff.
10. *Internal UNICEF support to staff:* we felt UNICEF could do more to ensure its global learning was internalised, for example in ensuring a common understanding of child protection and what approaches there are to effectively protect children, especially in the conflict areas. UNICEF must have a huge global experience built up about best practice and lessons learnt which does not appear to be effectively shared with staff.

²² This is consistent with the study of the DFID-supported HRBAP in UNICEF undertaken by the PARC in 2005 which concluded that while much had been achieved 'the approach is not yet sufficiently mainstreamed across UNICEF.'

11. *Gender analysis.* This is an area where UNICEF needs strong skills and awareness before it can pass on these skills to its partners. However, although gender training is said to take place and the 2004 Annual Report stated that gender analysis of all key components was planned for 2005, there is no evidence to suggest that this has been achieved and that gender analysis takes place on a regular basis which would better ensure that UNICEF programming is gender sensitive. Most staff interviewed said they did not have the capacity to undertake gender analysis, even though one member of staff in Zonal Offices is designated as the gender focal point. In order to develop programmes which are responsive to the needs of both sexes it is vitally important to fully understand the differing gender contexts within which children are denied their rights, the reasons why and the attitudes and behaviours which will prevail when responding to them. Capacity is not being sufficiently built, either within UNICEF or with partners, to assess and analyse gender issues, especially within conflict situations and to build this into UNICEF's programmes. (For example the different needs of girls and boys in the approach taken to preventing recruitment and in supporting them when released must be addressed.) Child abuse is rooted in gender roles and power dynamics within society and it is imperative that gender analysis is central to decisions about appropriate support and response. This lack of gender analysis cuts across the whole UNICEF programme and needs to be urgently addressed. *It is recommended that gender analysis is mainstreamed into all UNICEF programming, with necessary training and competencies put in place.*
12. *Moving beyond the sectoral approach:* The capacity within UNICEF to work outside sector 'silos' is not being adequately encouraged. Staff need to understand the whole programme and not only their particular part. For example, the psychosocial and the child protection programme should be crosscutting through all of UNICEF's work and to enable this to happen it is vitally important that all staff understand the issues, terminology, approaches and how it does cut across all that is trying to be achieved. Similarly technical staff, like those implementing Water and Sanitation Programmes in the IDP Camps in the North and East, need to have an understanding of HRBA and be prepared to raise issues with both the GoSL and the LTTE when they see rights being abused.
13. *Children participation.* An underlying principle of UNICEF working practice is the participation of children in decision making when developing and implementing the programme. There are many opportunities to do this within the programme, through development of a CRC shadow report, and monitoring of the CRC within schools and children's clubs. Children were consulted when the NPA was being developed, but this effort was not sustained. There is now an opportunity for children to be part of the CRC/NPA monitoring process, both for the official report as well as the shadow report. It is a wonderful opportunity to empower children to take an active role in decision making, develop the children's clubs, build upon the psychosocial support networks in schools, and build children's capacities, for example, developing a children's parliament.²³ We recommend UNICEF *look for ways of increasing the participation of children in its future programme.*
14. At present UNICEF is working with at least 150 partners many of which need support to implement projects successfully, and supporting these NGOs with different technical assistance especially help in writing proposals and reports can be very time-consuming. Some Zonal Offices have tried to run workshops to capacity build NGO partners, but report that further support is needed. Since UNICEF may not have the capacity to undertake this we recommend that UNICEF subcontract this work to one of its long standing INGO partners, which have long experience of working with local NGOs and other civil society groups.

²³ Work is being undertaken directly with children such as 'Children as Zones of Peace Opinion Poll' which can be built upon, but there is little evidence to suggest that this information is being used, (apart from the encouragement to Children's Clubs to visit each other so that different ethnic groups mix together – a suggestion that came out of the poll.).

Working beyond the 'silos' the example of Vavuniya

UNICEF staff in Vavuniya are unable to cover all four districts and so if one member of staff is going to an area they cover for all sectors. This gives an opportunity for UNICEF to focus more strongly on issues like child protection cut across all sectors. It also develops stronger links with government, NGO, and civil society contacts as each staff member has to rely much more on partners' support and can be more strongly focussed on external relationships rather than being caught up only within their specialised sector.

7 M & E within UNICEF Sri Lanka

This section reviews the M&E capacities of UNICEF. It discusses the extent to which use was made of M&E capacities of GoSL and other partner organisations, and to what extent additional M&E capacities have been built. In this assessment use is made of UNICEF guidelines, standards and manuals concerning M&E, UN Monitoring and Evaluation standards and norms and UNICEF studies on a rights-based approach and results based management²⁴.

Organisational Structure

In the UNICEF head office in Colombo there is a planning, monitoring and evaluation unit which includes a planning officer, an evaluation officer, a monitoring officer and a fund allocation officer. The unit is headed by the planning officer and resorts directly under the Country Representative. In the programme unit the responsibilities for M&E reside with the programme managers of the various programmes. The key responsibility of the unit is to provide information needed at the level of the country representative and other levels within the organisation.

Within the zone offices the Killinochchi office is the only one that has a separate M&E position. In the other offices the main M&E responsibilities reside with the project managers. The description of the M&E position in Killinochchi is information and administration oriented, focussing on monitoring of program aspects, gathering of quantitative data, preparation of reports and provision of information to partners. Notwithstanding these limitations, the position provides stimulation to M&E in the various parts of the zone office and increases the attention given to M&E issues.

The focus on activities, their financial costs and outputs pervades the M&E system and structure, both in Colombo as well as in the zone offices. Zone offices are regarded as information providers to the head office in Colombo, as "the eyes and ears of Colombo". Zone office staff do not regard M&E as something that benefits the zone projects and programs on a local level. The structure and system is head office oriented, as the focus of the system is on providing UNICEF Colombo with data, rather than gathering data to inform local programming efforts. The senior management team in turn, feel they do not always get the data that they require for decision-making. This data orientation is also expressed in the draft UNICEF Country Program Document for the period 2008–2012 which states that: *"The planning, monitoring and evaluation programme will contribute to ensuring that adequate data is available for analysis, planning and monitoring and policy development"*.

²⁴ UNICEF Evaluation Office New York: *UNICEF Evaluation Report Standards*, September 2004, United Nations Evaluation Group (UNEG): *Standards for Evaluation in the UN System*, 29 April 2005, United Nations Evaluation Group (UNEG): *Norms for Evaluation in the UN System*, 29 April 2005, UNICEF: *Programme Policy and Procedure Manual, Programme Operations* (Revised February 2007), Freeman, Ted: *Country Programme Evaluation in an era of change*, UNICEF Evaluation Office 2005.

The structure of the PME unit in the head office disconnects the unit from the programme division. This can have benefits, especially for the review and evaluation function, which can thereby become a more relatively independent function, not directly depending on programme management. The monitoring aspects of the unit, looking at programme implementation and the short term results for programme participants and partners, would though benefit from a stronger relationship with programmes. From a programme perspective, it might be more useful to combine the monitoring part of the PME unit with the programme section. This would allow for a different relationship of the PME unit with program staff and would facilitate building M&E capacities of the various programmes.

The M&E responsibilities and efforts at the zone office level are dispersed amongst many staff members. There is a need to coordinate and support M&E activities on a zone office level. Experience in Killinohchi with a designated M&E staff person shows some of the benefits of such a position. In order to make a real change though at the zonal level, the M&E function should be less administrative and more program management and strategy oriented.

Systems and Processes

The Logical Framework

There are various versions of the programme logical framework including one from the Programme Plans of Operation, one adapted version resulting from the Mid-Term Review (MTR) and a one page overview of all programmes as part of the Master Plan of Operations. The MTR one is both the most updated and the one most commonly used, therefore this analysis will focus on the logical framework as adapted by the MTR. The other frameworks have nonetheless also been used in the analysis of the CPC programme and its M&E systems.

This logical framework is printed over a total of 18 pages, which makes it difficult for anyone to understand. The one page overview that is part of the Master Plan of Operations lacks the details to make it useful for results based management, so there is not a one page overview available of the key logical steps in the results chain of each of the programmes. Indicators used in the framework are mostly quantitative.

The logical framework provides the programme results and, as part of each programme, the specific project results as well as indicators, means of verification and critical assumptions. The results on the level of the *program* are usually on the level of impact, i.e. the long term effects produced (or contributed to) by a development intervention²⁵. Looking at results on the level of a *project*, these actually prove to be a mixture of outputs and their medium-term outcomes²⁶. In the current logical framework outputs and results are mixed together and not logically linked with activities on the one hand and higher level results or impact on the other hand. This means that there are no clear results chains identified in the logical framework.

The lack of clear results chains limits the use of the framework, in terms of assessing whether project outputs actually result in changes in behaviour of individuals or organizations. Assessing whether project results are occurring can be used as an early indication of whether a project will be able to contribute to reaching the program results, i.e. the impact identified. That is more likely to occur when

²⁵ See OECD DAC: Glossary of Key Terms in Evaluation and Results-based Management. The DAC terms are used here as they distinguish Impact, Outcomes, Outputs and Activities. This word missing ?while in the UN terminology most of these levels would be referred to with the generic term *results*.

²⁶ Outcomes are short term and medium term effects of an intervention's outputs, while outputs are products, goods and services which result from development interventions. Use is made here of the terms as defined by OECD/DAC as in the UNICEF terminology all three levels are referred to as results, which makes it difficult to distinguish them. Outputs in the CPC logical framework are for example "students in Education College trained" or "police officers received education on child protection". Though important these are not yet results. Results would mean for example that newly trained teachers behave differently (e.g. are more child friendly, in class), as results imply some kind of behavioral or systemic change.

outputs and the results that they are expected to create are organised in a clear results chain and assessed on a regular basis. In case a project result would not be achieved, project management can then take the necessary measures in order for constraints to be identified and addressed.

The last column of the logical framework contains the risks and assumptions. Overall the logical framework is relatively weak in its risks and assumptions. A major shortcoming is the omission of any reference to the Cease Fire Agreement and the continuing conflict in Sri Lanka.

Key assumptions and risks need to be included as part of monitoring activities. Moreover, the programme would also need to address the underlying issues in case some of the assumptions do not come true, as otherwise one would deal with a “killer assumption” that obstructs reaching project or programme goals. *‘Programme priorities on the part of partners remain unchanged’* and *‘all actors remain committed to the approach’* (of a sector wide policy strategy for education) are some of the examples of assumptions that need to be monitored and eventually addressed.

Zone Office Workplans

In the field in most cases it was found that staff did not work from the logical framework analyzed above and of which they often did not have copies. They normally worked based on their workplans, which are prepared based on the logical framework and on the actual projects implemented at the zonal level and focus on activities.

As part of the workplan higher level project results are indicated at the start of the plan. Though inclusion of these results does remind staff of the higher level objectives that their activities need to contribute to, these higher level results are usually on the level of impact, which means that staff activities cannot directly be related to them, nor can staff be held accountable to reach them. The missing link in many workplans are the outcomes (or intermediate level results), the medium term changes in people’s, groups’ and organisation’s’ behaviours that need to occur in order for the longer term impact of the project or programme to be realised. In most workplans staff activities are not clearly linked with intermediate results and thus staff are not encouraged to monitor these aspects in order to see whether the changes that need to take place in order to reach the longer term impact are actually occurring. Lack of clear results chains in the zonal level workplans limits their use for staff in results based management and in project and program analysis and implementation.

When confronted with the absence of the details of the logical framework in a zone office, staff often refer to their workplan as a substitute. As the workplan also does not contain clear result chains it also cannot provide the guidance needed for results based management. What is needed is a *simplified logframe* with clear results chains for the various programmes, which could be used as an important tool for staff to link their activities with the various levels of results that they are trying to achieve. Such a logframe with clear results chains can be used to inform the development of workplans, in which these results chains are incorporated so that they can drive zone level M&E activities. In this way staff can assess whether their activities are actually resulting in the required behavioural and systemic changes that enable the higher level results to occur.

M&E Plan

The so called “Integrated M&E Plan” of the programme provides an overview of important M&E events including assessments, reviews, and evaluations of the programme as a whole. What is lacking is a more comprehensive M&E plan. Key aspects of M&E that one would expect to be described as part of an M&E plan include: ways in which data are managed and analysed, how data analysis is fed-back to the various levels within a program, who has what kind of M&E responsibilities, and how information is used for reporting as well as for learning. When a comprehensive M&E plan is missing much of the details on how to conduct M&E and especially on what to do beyond data gathering on a zone and project level, are lacking and left for staff to resolve in their own situation.

Computer-based Data Management Systems

Two computer based data management systems for M&E were introduced. One is the DevInfo data management system, aimed to manage information regarding the MDGs and related indicators, but adaptable to other information needs. UNICEF has provided this software to various GoSL partners and build staff capacities in use of the programme in order to address the specific information management needs of these organisations (see below). For UNICEF itself the Program Operations Management System or short “PROMS”, is most important. PROMS is a data management programme for UNICEF’s programmes and projects and forms a key element in UNICEF’s move towards results based management. PROMS started as a financial data management system and got reinforced by linking financial data with the activities that are funded and the resulting outputs. In the latest version, moreover, outcomes and their status can be entered into the system. The added functionality of PROMS has the potential to make the system more outcome oriented. In addition, fields for qualitative comments are available, in order to qualify certain aspects or to provide useful comments. These added functions are increasingly being used by UNICEF staff. As the system is working very slowly in some of the zone offices (for connectivity reasons), there are still technical issues to be resolved.

As regards the use of PROMS, a key issue is the types of reports that can be produced and the ways data can be analysed. It is important to note that reports produced are not so much the result of analysis, but are tabulations of data and information. Options for analysis are limited. Moreover, a system like PROMS can be used in multiple ways. It can be used in a centralized way, enabling decision-making on a central level and it can be used to support zone offices to act relatively independently in a decentralized set-up. Until recently its use has been very head office focussed, but this is now changing.

Monitoring of activities and their outputs as well as their financial costs are important functions of the CPC monitoring system in terms of program implementation and accountability for human as well as financial resources. These functions are fulfilled well through the present M&E system and the PROMS supports this function and reinforces its importance. This focus on activities, outputs and financial details tends to absorb the attention in M&E. Too little attention is given to medium term outcomes (the changes needed in order to ensure expected impact) and the monitoring of process issues including participation and the changing capacities of local organisations.

Organisational Performance Assessment

A set of 22 indicators has been developed in UNICEF Sri Lanka which are assessed on a monthly basis in order to measure organisational performance. In addition to one indicator on program objectives these include indicators regarding internal organisational processes. For an overview see the table below. This framework is used by the Country Management Team to review internal organisational performance

Meeting targets under normal circumstances is often quite different from meeting the same kind of targets under conditions of conflict or other kinds of constraints. Especially in the present context of Sri Lanka there should be room to add the changing conditions under which one is working as part of such an assessment, in order to make the results more valid. Given the relative low importance of program achievements as part of the tool, it should be used to reflect internal processes rather than overall organizational performance.

Table 3: UNICEF Sri Lanka Performance Indicators

1. Programme funds and support budget utilization by programme
2. Achievement of program indicators by objective and by section
3. Supply plan
4. Percentage of CAGS outstanding 6-9 months period as percent of total unliquidated
5. Percentage CAGS outstanding over 9 months period as percent of total unliquidated
6. Percentage of liquidations received from zonal offices NOT liquidated in PROMS
7. Percent donor reports overdue
8. Number of days between receipt of proposal in PC and issuance of authorisation . regret letter by programme sections
9. Number of days between issuance of authorisation letter and approval of PRQ
10. Percent taken over 15 days between receipt of liquidation documents from field and liquidation in PROMS
11. Percent of PRQs approved and actual payment by fiancé taken over 5 working days
12. Percent PO issued within 30 dyas of raising for local procurement of less than USD 20,000
13. Percent PO issued within 45 days of raising for local procurement of over USD 20,000
14. Percent of (Off shore procurement) PO delivered within TAD on PGM
15. Value of warehouse inventory items over 100 days of stock
16. Number of open audit recommendations in 2005 and audit review and number closed
17. Field travel by programme/sections
- 18–21. HR indicators concerning time taken to fill various types of national and international positions
22. Percentage of staff completing 5 learning days in 2006

(Source: Performance Indicators for the Month of October 2006)

Baselines, Reviews and Evaluations

UNICEF and the Department of Census and Statistics jointly implemented a district level study in 2002/3²⁷, focussing on the current status of child health and welfare in 7 of the 15 districts that UNICEF operates in. In 2003/4 they did the same for 6 selected Northern and Eastern districts²⁸. In 2005/6 the series of studies was completed by UNICEF in Killinochchi and Mullaitivu districts.²⁹ These three studies provide essential data on key indicators on district level in each of the districts in which UNICEF is working. Especially for the districts in the North and East no consistent data were available beforehand. The studies cover key subject areas that UNICEF is working on including: child health and child care, water and sanitation, schooling, reproductive health, awareness on HIV/AIDS and knowledge of child rights issues. Through providing details on the level of the district, the studies aim to show national disparities which can be used for planning purposes. The studies are regarded as a kind of “baseline”³⁰, providing a basis for comparison in the near future. In addition to the “baseline” studies, a number of assessments, reviews and evaluations have been conducted in the period under review, which are presented in annex below. These studies provide a useful database relevant to GoSL, UNICEF and many other donors and NGOs working in Sri Lanka and provide a useful reference

²⁷ Department of Census and Statistics and UNICEF Sri Lanka, *Survey of Child Health and Welfare in Seven Districts in Sri Lanka*. March 2003.

²⁸ Department of Census and Statistics and UNICEF Sri Lanka, *Survey of Child Health and Welfare in Selected Northern and Eastern Districts in Sri Lanka*. March 2004.

²⁹ Department of Census and Statistics and UNICEF Sri Lanka, *Survey of Child Health and Welfare in Killinochchi and Mullaitivu Districts*. August 2006.

³⁰ This “baseline” does provide solid ground for comparison of district level data of child conditions over time. The data are not directly applicable in terms of single agency impact assessment, as by no means could attribution to a single agency be claimed. It would be useful in terms of identifying changes to which individual agencies would have contributed.

regarding the Millennium Development Goals. An important comparison will be the Demographic and Health Survey 2006, implemented by the Department of Census and Statistics and to be published soon.

In the period under review multiple reviews and evaluations were conducted on different parts of the CPC programme, these include the Mid-term Review of the Country programme, the review of the CAAC programme, the review of the Action plan and the Mine Education Evaluation³¹. Evaluations and reviews focus on a mix of outcomes (intermediate results), and impact (longer term results). The ones made available and reviewed by the evaluation team normally mention the lack of baseline data, which was to a certain degree addressed by the above mentioned studies in the districts where the CPC is operational. Various of the reviews identify problems in M&E. Though the monitoring of child recruitment and releases is well organised, other aspects of child protection are much less well monitored and evaluated.

This focus of review and evaluations on a mixture of outcome and impact is useful as it partially makes up for the lack of focus on intermediate results in the monitoring systems of the various programmes. The reviews and evaluations have informed the longer term strategies of the programmes but as they are conducted intermittently they cannot inform the on-going fine-tuning of management of the various programmes. Findings from reviews and evaluations moreover, have the tendency to be implemented in a top-down approach as they go from UNICEF Colombo to the zone offices. This is very different from the way monitoring data on outcomes can influence program decision-making, as the data are generated and ideally analysed locally by UNICEF and partner staff (as well as on higher levels) and can influence field level decision-making, while at the same time providing regular information for the UNICEF head-office in Colombo.

The UNICEF programme does not stand alone but its objectives feed into the UNDAF overall objectives. The UNICEF programme has supported a joint UN Monitoring and Evaluation position to review and support implementation of the UNDAF M&E framework including a joint UN baseline survey for selected implementation areas. This will need to be clearly linked with the UNICEF M&E system on a national level as well as on the level of zone offices and the evaluation of the various programmes.

Annual Reports

Comprehensive annual reports are produced at the end of each fiscal year in order to provide an overview of achievements of the overall program and its various components, of the changing context and challenges faced and a look into the future and new requirements identified. In terms of results the reports, in line with the zone level workplans, tend to focus on higher level results (impact) on the one hand and a mixture of activities, outputs and few lower level results on the other hand. It was found that the information was often presented slightly different in consecutive reports, which makes comparison across the various reports difficult.

Learning

Various learning initiatives have been developed in UNICEF Sri Lanka. Each of the programmes conducts programme meetings in Colombo or elsewhere in Sri Lanka, to discuss programme issues and exchange experiences and learnings. Moreover there are lunch meeting and learning afternoons in Colombo and there is a variety of partner coordination meetings in which experiences are shared in the various zone offices, including local Government, NGOs and donors. Important constraints to learning includes the high staff turn-over in UNICEF, which makes it difficult to retain the knowledge that staff has built based on their experience within the organisation.

³¹ Mid-term Review Report of the Government of Sri Lanka – UNICEF Country Programme of Cooperation, 2002–06
Joint DFID/Sida/UNICEF Review of UNICEF Children Affected by Armed Conflict Programme in Sri Lanka, June 2002
Sri Lanka Action Plan for Children Affected by War Review by JMJ International, June 2006
Mine Risk Education Project of UNICEF: A Formative Evaluation, April 2004

Human Resources

The experience of staff in terms of M&E was found to be quite diverse. As already noted there is only one M & E person outside Colombo, and staff are far more familiar with quantitative data collection techniques rather than qualitative methodologies. With the system being oriented towards information gathering and reporting, analytical and strategic thinking are less well developed. In general the knowledge on M&E of the UNICEF staff members and among quite a number of its partner organisations would provide a sufficient basis to build a results based approach and to further develop individual capacities.

The capacity of partners in M&E is substantial especially in the education and health programs, and this capacity has been enhanced as part of their involvement in the programme as well as through training and other types of support in the CPC (see below). Capacity development of individual UNICEF and partner staff members seems to have concentrated especially on technical aspects of data gathering and data management and has been mainly concerned with quantitative data.

In the staff appraisal and reward system staff are appraised on an annual basis. While in the appraisal forms used, both quality and quantity of work are balanced, the perception of staff is that the amount of funds spent on the activities of their workplan is the most important indicator against which their performance is evaluated.

There are opportunities to further build capacities in qualitative data collection and analysis. UNICEF and its staff will need to build their own capacities in this respect in order to be able to play a role in building these kind of M&E skills in partner organisations. In order for a results based management approach to be practiced throughout the organisation the rewards system needs to be adjusted so that staff who make an effort to monitor field level implementation and its outcomes are rewarded in a way that provides clear value and respect for such an approach. This will also help the organisational culture (see below) to become more results oriented.

Aspirations and Strategies

UNICEF as an organisation aspires to have results based management applied throughout the organisation and to use it in order to inform project and program decision making as well as UNICEF's strategic positioning. This aspiration is reflected in a number of UNICEF and UN documents on standards and norms in M&E and in the UNICEF Programme Policy and Procedure Manual. To support the organization to realize this aspiration UNICEF's South Asia Regional Strategy was developed, which puts high value on improving the evaluation function and includes various kinds of support to country offices. It is much less clear on a country office level what steps UNICEF Sri Lanka is taking in order to mainstream a results-based approach across its programmes. The current M&E system, with its main function of providing UNICEF Colombo with information, does not provide the right incentive to develop a results based approach at the zonal level.

Organisational Culture

UNICEF Sri Lanka's organisational culture in monitoring and evaluation is one that focuses on data and information, and much less on analysis and reflection. There is high value attached to collecting data and information and sending it on to Colombo. In the zone offices, monitoring data are not primarily considered as useful information for management decision-making of staff and partners at the local level, but are important in order to inform head office and to show them what has been done.

Another key value concerns the amounts of financial resources spent for activities identified. There is a high value on financial expenditure capacity and in zone offices the pressure to disburse funds is felt on a daily basis. Quantity seems to get priority over quality, which is hardly surprising given the rapidly expanding resources in recent years. In such an environment it is difficult to create incentives for aspects of quality of implementation, of processes applied and on learning across programmes.

Moreover, it is difficult to get M&E to go beyond financial control and activity monitoring, which is reflected in the focus on activities, outputs and related costs in the workplans of staff, which is what they are held accountable for. It leaves hardly any attention to the medium term outcomes that activities and outputs need to result in, the changes in peoples' and organisations' behaviour. It is especially these changes that are important in a results based management system.

The data management system PROMS is considered to solve some of the problems in monitoring and evaluation and in programme implementation. PROMS has so far been mainly used to get data to the head office. Use of Proms reinforces the idea that M&E is highly technical and sophisticated, serving head office rather than local project implementation. The system puts a lot of focus on data management, drawing attention away from analysis and reflection.

The division amongst the various programmes in Colombo is quite pronounced and cross programme learning and coordination are relatively new to the country office. This sector or "silo" approach provides constraints to the actual integration of the various programmes, not only in Colombo but also on the level of the zones. Though at the zone level UNICEF staff of different programmes do cooperate in terms of planning and sharing of logistics, these are often more practical arrangements and do not necessarily result in cross programme coordination, cooperation and learning and often fail to create the synergy needed across the programmes.

Linking up with GoSL M&E Systems and other partners

Large parts of the monitoring functions in the CPC programmes are integrated with the GoSL monitoring systems. This happens especially in the ECD and the Learning Years programmes which have monitoring systems that have been functioning for decades. This is a very good approach as it tries to build in practice on existing capacities, and in that way actually reinforces those systems. In both programmes there are moreover, multiple review committees on various levels, from the zonal level upto the national level.

Most Government systems, as the UNICEF systems, are very finance and activity/output oriented. For evaluation, intermittently they look at the higher level results or impact. But there is less focus on the intermediate level of results and there is no results based management approach applied. It is especially in this respect that the GoSL M&E systems could be reinforced and organisational capacity could be built.

UNICEF also works with NGOs and part of the M&E in that case is done by the NGO. In the process NGO capacities in M&E are usually built. M&E systems are quantitatively oriented, focussing on activities and their outputs and on financial aspects. Some NGOs showed an interest to further develop their M&E capacities, realizing the value for the programme as well as for their own organisation.

M&E in CAAC and Protection Programme

In the Underage Recruitment programme, aspects of child recruitment and child release are actively monitored, which means monitoring the violation of child rights and engaging on the information obtained. This is a good example of how monitoring information can be used for advocating on children's behalf, which takes place at multiple levels. This way of using monitoring information could also be used to inform advocacy on children's behalf in other parts of the programme.

In the various parts of the Protection programme there are less established M&E systems compared to ECD and the LY programme. Also here the focus is on activities and outputs and there is much less attention for results. There is even a more fundamental issue in these programs, which is the lack of shared and agreed concepts on child protection. Various parties have their own perspective, including reasoning from economic, social as well as human rights arguments. This limits the options for consistent monitoring and evaluation of the various components of the protection programme.

Building Organisational Capacities

M&E capacities have been built in GoSL partner organisations. The capacity of the Department of Census and Statistics was built in the use of the database software called DevInfo³², used for a database on the Millennium Development Goals and indicators in Sri Lanka. Staff of the Department has been trained in use of DevInfo.

As part of the WASH program UNICEF Sri Lanka provides support to the National Water board to measure and analyse the quality of drinking water. In water quality surveys, covered water wells are normally assumed to have safe drinking water, and are counted as such, though this is not necessarily the case. In support of the MDG of improved access to safe drinking water UNICEF has equipped water quality testing laboratories and provided training on how to run these. UNICEF has also provided the same kind of support to the Department of Census and Statistics for the District Health Survey and which includes access to safe drinking water. UNICEF, moreover, has provided other support on some of the measurements in the same survey.

An initiative by the education programme, to adapt the way in which data on school attendance are recorded and made available so that these can be used for management purposes, in addition to assessment of impact is a good example of ways in which capacities for results based management can be built, building on existing capacities of data collection, adding new value through use of data that have been gathered for decades (see the box below for details).

Box 1: Best Practice on Managerial use of M&E data in Education

In the education system in Sri Lanka data on attendance records have been collected for decades. The data are collated on district and higher levels and become available for the year some time after it has ended. This provided a measure for impact of education programming as one can compare attendance and retention rates over the years.

The Education Programme of UNICEF has been working with local authorities and school management in selected IDP schools in Ampara and Batticaloa districts, where an attendance system is in place. They added one column to the form with which the data is being collected, which was a coded response why children did not attend school, for days that they are absent. They also developed a summary format at the Divisional level and the data are made available on a monthly basis rather than after a one year period. This is all done in close cooperation with the GoSL and the head of the zonal office. In this way the attendance data turned from a longer term, impact related tool, to a management tool for understanding reasons for absence in the short term. This helped teachers and local school committees to be better informed in management of issues of school attendance. Actual effect in terms of programming need to be further documented.

In addition to being an example of practical use of Monitoring data, this example also shows the role that UNICEF can play in adapting a well established M&E system to inform management and to maximize programme impact.

Capacity development in the various programmes is covering a limited amount of aspects. Focus is usually on the training of staff, provision of support to systems and infrastructure, which can be software in one case or computers and cars in another. Though this approach is based on real felt needs in the GoSL system, it is not based on systematic capacity assessments that feed into a longer term capacity building strategy and action plan. Nor does it necessarily relate with other aspects of capacity development, including organisational structure, human resources and organisational skills.

There are opportunities to focus more on building partner capacities in results based management on local level, in order to reinforce their decision-making and management practices and thus develop their organisations. Building of partner capacities in this respect, will need to go hand in hand with zone offices themselves adopting a clear results-based management approach.

³² DevInfo is a database software built which was developed in UNICEF. It can be adapted and used for multiple purposes.

**Box: SWOT Analysis of CPC Sri Lanka M&E systems
(based on discussion with staff and partner agencies)**

Strengths

- Field based monitoring data gathering systems in zone offices
- Building on GoSL partners' monitoring system, especially in ECD and LY programmes
- PROMS software provides a generic platform for monitoring in UNICEF
- Facilitates financial, activity and output oriented accountability

Weaknesses

- Lack of Focus on attaining results and results chains
- M&E systems do not sufficiently inform local project management
- Lack of qualitative indicators and aspects
- Less attention to data analysis and reflection
- Lack of accountability for results and limited focus on learning

Opportunities

- Involvement of target groups in participatory M&E in field based systems
- Promoting results based approaches on various levels of GoSL
- Further build partner capacities in M&E, improving their organisational capacity

Threats

- Emergency response in worsening conflict situation will absorb attention
- With some donors phasing-out one might see less need for (donor-oriented) M&E

In the present context of Sri Lanka, monitoring needs to include assessment of the changing conflict situation in order to assess the risks involved for the programme and to develop appropriate reactions. Staff in conflict affected areas were very aware of the situation and adapted their activities to the changing context on a daily basis. Moreover, part of the programming had been adapted to the on setting emergency and rising number of IDPs.

7.1 Conclusions & Recommendations on M & E

The present M&E organisational structure focuses on getting information to UNICEF head office rather than feeding monitoring information into local level project management decision-making and building zone office capacities. Within the zone offices, designated M&E positions are normally lacking, which limits the options for M&E to go beyond data gathering and data provision, though there are good opportunities for data analysis and learning at the local level.

The logical framework lacks a clearly identified results chains. Moreover, it is not very accessible as it has not been summarized in a meaningful way and is often not available to staff. Indicators are mainly quantitative, focussing on activities and outputs reached. There is no focussed on-going attention on whether individual or organisational behavioural changes are actually occurring, which would help staff to assess whether they are on the right track in terms of contributing to the impact identified. *The current logical framework does not help the organisation to apply results-based management.* The assumptions and risks part of the logical framework are weak and so is their monitoring. The IMEP summarizes key M&E events for UNICEF and its partners. There is though no separate M&E plan that details the monitoring and evaluation to be done at the various levels of each of the programmes.

The workplans as presently used focus on activities and outputs on the one hand, mentioning the impact to which these contribute on the other. Monitoring is limited mainly to measuring progress in terms of activities, outputs and financial disbursement. Though this is an important function of an M&E system, it is done at the expense of other functions. Computer based data management systems have been put in place and these have the potential to decentralize information use and decision-making.

While organizational performance assessment systems are helpful they need to be balanced with the use of a results based management system. Achievement of results and impact and the ways these effects are brought about need to be seen as important as the organisational performance of the UNICEF Sri Lanka country office.

Though various initiatives have been initiated to promote information sharing and learning, there are some organisational constraints that challenge learning opportunities, especially the high work load and high staff turn-over. The present individual staff capacities are data and information gathering oriented, rather than oriented towards analysis, reflection and learning, focussing on quantitative indicators rather than qualitative aspects of change. Though building staff capacities is important, this will only be useful if the structural and systemic, as well as organisational culture issues identified by the evaluation team are also addressed. In particular there is a lack of stimulus for analysis at the local level, and a need to create meaningful M&E systems that inform local level decision-making.

As regards internal capacity-building in M&E UNICEF Sri Lanka has focussed more on the introduction of computer based data management systems instead of focusing on a comprehensive internal capacity assessment and a focussed capacity building strategy and action plan.

Recommendations on M & E

- The UNICEF M&E systems need to be re-focussed in multiple ways.

There is a need to *focus on results* in between outputs and impact, in order to enable staff to realise whether the individual and organisational changes that are needed to reach the programme impact are actually occurring.

The M&E systems needs to become more focussed on *informing management decision-making at the local level* in addition to the UNICEF Country Office level. Data needs to be analysed at the local level and used to inform zone level decision-making, before it is sent to Colombo. Seeing the use of the information gathered usually provides the best incentive for staff to improve the quality of the data gathered.

UNICEF M&E staff need to be more explicitly *focused on building the M&E capacities* of the GoSL and other partners, promoting the use of results-based approaches and seeking innovative and efficient ways to do so.

- UNICEF's internal organisational structure, systems and culture regarding M&E need to be adapted with respect to:
 - *Structural aspects*: monitoring needs to be better linked with programming
 - *Systems*: development of a simpler and more user-friendly results-based logical framework for the new programme period, together with staff and key stakeholders. This needs to be supported by the use of the computer based data management system to reinforce the process of decentralization of M&E.
 - *Indicators*: there is a need for a combination of Country Office generic with zone office specific indicators; and there is a need for more qualitative indicators
 - *The Methods and tools* that need to be promoted and used more widely including knowledge, attitudes and practice surveys, outcome mapping, rapid appraisal methodology and field observa-

tions. Formal methods need to be combined with more informal methodologies, to allow for use of open-ended approaches, especially at the start of a program cycle and for pilot initiatives

- The *learning systems* need to be reinforced both on local level as well as Colombo level, especially the cross programme learning as well as learning on cross-cutting issues, including gender, rights, M&E and others
- In order to build M&E capacities of UNICEF and of GoSL and other partners, the organisations need to undertake *facilitated capacity self-assessments*, including structural, system, human resources as well as issues of organizational culture. In this way the existing capacities of UNICEF as well as GoSL and other partner organisations can be mapped out in detail, together with the capacity ‘gaps’ identified in this evaluation. Such facilitated self-assessments can at the same time be an important step in staff capacity development, and their results should provide the basis for the development of a longer term strategy for M&E capacity building and a one year action plan. Strategy and action plans need to contain programme specific parts, tailoring them to the existing differences in M&E capacities amongst the programmes. It is most urgent to start this process in the Child Protection programme as M&E systems were found to be the weakest there.

8 Summary of Programme Recommendations

Overall Programme

1. As there is little evidence that the UNICEF programme is strategically linking into both the CRC and NPA, we recommend that UNICEF should support the MoCDWE and other ministries to build a robust monitoring system for both the CRC and NPA which would bring both documents alive and hold all parties to account for work signed up to and to be undertaken. Support should be given to the CEDAW monitoring and reporting system and linkages to the UNICEF programme strengthened.
2. UNICEF should support the production of a CRC Shadow Report to be developed by Civil Society.

8.1 Recommendations for Child Protection

3. In relation to the UR Programme UNICEF needs to develop a national communication strategy which is seen to be balanced reporting of all human rights/child rights violations which are taking place, by all parties.
4. UNICEF should focus its efforts on strengthening NCPA's overall capacity. This is one opportunity both to assess and strengthen the capacities of duty bearers within the government in relation to child protection, and this opportunity needs to be grasped.
5. UNICEF should also aim to build NCPA effectiveness through specific programmes, such as the multi-agency DCDCs. NCPA are responsible for them and this is a great opportunity to really develop a multi-agency approach which works at all levels.
6. UNICEF, in co-operation with relevant government agencies, should develop national training on rights based on legislative and procedural foundations which better enables actions to realise rights.
7. In order to develop a voice to hold government to account and better ensure a community based response to child protection we recommend UNICEF should work with fewer NGOs and invest in building strategic civil society partnerships which can also be a focus for developing the proposed ‘shadow report’ for the CRC.

8.2 Recommendations for Learning Years Programme

1. Future Support should be consolidated to a smaller number of specific areas, and should not be spread across so many areas and activities.
2. Given the problems associated with defining the impact of UNICEF's current LY programme, any future programme should be monitored against clearer baselines and bench marks.
3. In addition we recommend more UNICEF support should be directed to assisting the MOE in key strategic planning areas such as conducting Capacity Assessments to get a clear overview of the existing human and institutional capacity and the possible constraints that will be faced in the implementation of the ESDFP.
4. The LY Programme should focus on helping Out of School Children in the most disadvantaged areas, and continue to support the MOE in planning & monitoring skills, while phasing out support for English language training, science laboratories, & secondary education.³³
5. Given the long-standing Human Resources problems in education, UNICEF should use its funding to assist the MOE to pilot new approaches in relation to HR – especially the recruitment, deployment and retention of staff
6. UNICEF and the MOE need to jointly develop a consistent reporting framework with more analytical, comparative and cumulative data of the programme's achievements.

8.3 Recommendations for the ECD Programme

1. *Strengthen interventions for maternal and child nutrition:* UNICEF should give greater attention to the problems of anaemia, low birth weight, childhood under-nutrition and vitamin A deficiency.
2. *Take a more comprehensive approach to the problem of under-5 malnutrition.* One of the key constraints to addressing the problem has been a lack of understanding of the causes of malnutrition as applicable in the Sri Lankan setting. Focused research into this area needs UNICEF support. Most analyses directed towards this issue have been secondary analysis of cross sectional data. A careful study of the processes leading to malnutrition may need longitudinal approaches from birth, using anthropological methods for the study of food related behaviours, care practices as well as socio cultural and demographic variables.
3. *Improve neonatal outcomes:* UNICEF should support the MOH to ensure equitable geographic distribution of neonatal intensive care facilities.
4. *Direct more funding and attention to support services for differently abled children* both in the health and education sectors. Early detection of problems is weak within the system. Specific learning disabilities and autism have so far received little attention.
5. *Strengthen the national as well as provincial level capacity within the MOH to carry out regular equipment audits and improve the ability of the bio medical engineering services to deal with maintenance and repair of equipment.*

³³ Recommendation supported by Validation Workshop on 06 March 2007

9 Overall Conclusions & Recommendations

9.1 Conclusions

1. From 2002–2006 UNICEF support has contributed to continuing progress in Sri Lanka, especially in relation to Health and Education, and in the relief and recovery effort following the Tsunami. This continued progress is a significant achievement for both UNICEF and its partner agencies given the impact of the Tsunami and the re-emergence of the conflict in the last two years.
2. In addition through mechanisms like the CAAC Action Plan UNICEF has managed to continue to work on both sides of the conflict. It has not only helped negotiate the release of a large number of child soldiers, but it has also consistently ensured that this issue continues to receive international attention. The continuing presence of UNICEF and other UN agencies in the conflict areas must have a moderating influence on human rights abuses by both sides in what is now an escalating conflict.
3. In relation to UNICEF's own HRBA framework (ref. figure 1) and the extent to which this framework has been internalised by UNICEF's partners,³⁴ this evaluation found that most UNICEF support has been concentrated on capacity support, with relatively less attention being given to advocacy and social mobilisation. For instance too much of the CP programme focussed on services for those who had already suffered abuse, while insufficient attention has been paid to such issues as what causes abuse, where are the entry points for prevention, and how can community support structures be strengthened and empowered to take action.
4. Also this evaluation concluded from discussions with staff in particular that with high staff turnover HRBA was not well understood by staff. As a result we found that HR issues are neither being internalised in programming decisions, nor are they being clearly communicated to partners. To carry this agenda forward in Sri Lanka UNICEF needs to improve its induction training for new staff, and it also needs to build closer links with other civil society groups with strong expertise in HRBA.
5. As regards capacity building,³⁵ the evaluation finds that both the ECD and LY programmes have been implemented in close partnership with two already well established Ministries (Health & Education). In both these programmes some additional capacity has been built upon an already strong institutional base. Child Protection is acknowledged to have been far more problematic as CP staff have had to work with a far greater number of less well resourced Ministries, which themselves have been the subject of frequent re-organisation. However there is currently an opportunity with the restructuring of the NCPA to strengthen this leadership.
6. The best guarantee of the *sustainability* of this capacity³⁶ is a combination of enhanced demands from claim-holders, together with continuing political commitment from duty-bearers, backed by sufficient budgetary allocations from the government. We conclude that this positive combination of factors does exist in both health and education, but not as yet in child protection.
7. UNICEF's CPC has followed an appropriate strategy by working through a network of Zonal Offices and focussing on 15 poorer or conflict-affected districts, However the team found that though the actual funding decisions made at this level tended to be responsive to the immediate problems of the different government agencies, from a capacity building perspective the funding

³⁴ Question 1 in the TOR: see Appendix 7

³⁵ Question 2 in TOR

³⁶ Question 9 in Evaluation TOR

decisions made were sometimes insufficiently strategic. This has led to some inconsistencies between different areas as well as too many changes of approach between different annual work plans.

8. Also in contrast to the holistic vision of the MPO, the programme has developed along traditional, largely sectoral, lines, with separate departments for Education, ECD, and Child Protection. The management structure in the Zonal Offices tends to follow this same, sectoral approach. Both at Zonal offices and in Colombo this makes it harder for senior staff to retain a strategic overview of progress across the different programmes.
9. *UNICEF's own capacity*: The evaluation team's view is that well documented internal difficulties within UNICEF's own structure, especially around accounting systems and supplies procurement, (of which the Country Management Team are fully aware) have constrained it from building up the long term capacity of its key partners. First these difficulties mean that staff at all levels have to allocate far more time to UNICEF's own accountability requirements rather than building long term relations with partners. These same systems impact on partners, as they then have to spend more time following up delayed financial transfers and supplies.
10. Related to these constraints has been a high turnover of international staff, especially following the Tsunami, which reduces the amount of organisational learning and makes it harder for UNICEF to build productive partnerships.
11. Underlying the accounting problems appears to be a pervasive 'fear of audit'. Clearly thorough audits are essential, especially given the huge sums of money handled after the Tsunami, but most staff interviewed are critical of the current audit process, and would like future audits to be more sensitively handled.
12. Although UNICEF in Sri Lanka is committed to following a Results-based Management (RBM) approach, its monitoring systems still focus more on the planning and implementation of activities than on results and outcomes, and much management time appears to go into internal management issues and 'crisis management' rather than a more strategic effort to achieve outcomes. There is a currently too wide a gap between the overall goals of the MPO and the actual activities in which staff are engaged. This gap needs to be filled with greater attention to outcomes to which staff can be held accountable.
13. The evaluation team appreciates both that these weaknesses in M & E systems are global UNICEF (and to some extent wider UN-agency) issues, and that many staff in Sri Lanka are making major efforts to improve systems where they can. However the same problems, especially the weaknesses in M & E systems, were documented in previous evaluations (including the CAAC programme evaluation co-sponsored by DFID & Sida in 2002.) As such they appear very difficult for UNICEF Sri Lanka to change without strong support from its Regional and Head Office. In terms of the overall model of capacity building used in this evaluation they probably require major changes in organisational culture.
14. In terms of *value added* UNICEF may have a greater opportunity to build capacity in areas like child protection, where national capacity is still relatively weak and fragmented, than in sectors like health and education where the capacity is already well established. This is especially the case given that UNICEF through its Zonal Offices is able to build capacity at both District, Provincial, as well as national levels. Thus future planning needs to continue to focus on achieving a long term impact in difficult sectors and areas, rather than 'quick wins'.
15. In relation to *advocacy within Sri Lanka* UNICEF is well placed to collect and analyse information about some of the most vulnerable people in the country, especially IDPs, and children facing abuse or forced recruitment. This information can be shared, both privately with its partners, other UN

agencies, and civil society, and in some cases more publicly with the media. But this requires UNICEF to make a long term commitment to building up its advocacy capacity, and to link this capacity far more closely with its monitoring and reporting systems.

9.2 Recommendations for UNICEF³⁷

1. In relation to administrative systems and procedures overall there is a strong case for UNICEF collectively to 'lighten the load' in order to free up more staff time for strategic thinking, monitoring, and building and maintaining strong external relationships. (Action: CMT with support from both the Regional Office and HQ. Donors like Sida and DFID can assist this process by rationalising and reducing their reporting requirements).
2. As a key part of this process of 'lightening the load' UNICEF needs to review & re-focus M&E systems so that they will inform management decision-making and advocacy at the local level in addition to the UNICEF Country Office level. More data should be analysed at the local level and used to inform zone level decision-making. It needs to focus more on monitoring outcomes (in between outputs and impact) in order to enable staff to understand whether the individual and organisational changes that are needed to achieve programme impact are actually occurring. (Action: CMT with support from Regional Office & outside consultants if necessary)
3. In relation to M & E UNICEF's internal organisational structure needs to be altered to ensure closer links between monitoring and programming. (Action: CMT)
4. A simpler and more user-friendly results-based logical framework should be designed for the new programme period, together with staff and key stakeholders. This needs to be supported by the use of the computer based data management system to reinforce the process of decentralization of M&E, and a greater use of qualitative indicators, and a wider range of more informal monitoring methods. (Action CMT plus Zone Offices)
5. The learning systems need to be reinforced both on local level as well as Colombo level, especially the cross programme learning as well as learning on cross-cutting issues, including gender, rights, M&E and other issues. (Action CMT plus Zone Offices)
6. UNICEF M&E staff need to be more explicitly focused on building the M&E capacities of the GoSL and other partners, and promoting the use of results-based approaches. (Action CMT)
7. In relation to the CPC UNICEF should discuss with selected Government partners a refocusing of its programme for the period 2008–12 in those areas like health and education where national capacity is already well established. This would mean these ministries gradually increasing their budgetary allocations to activities currently financed by UNICEF. (Action CMT and Programme Sections)
8. As part of this re-focusing exercise we recommend UNICEF undertakes capacity assessments with key partners, with a view to identifying which sectors and areas need the most assistance. Self assessment tools should be used but the emphasis should be on building capacity for greater sustainability in the delivery of key services for children. We would see this as part of a more strategic approach to capacity building, which would mean UNICEF working with a smaller number of partners (both from Government and NGOs) over a longer period of time. We believe this more selective approach would achieve better sustainability for the CPC. (Action CMT plus PMRE section)

³⁷ Recommendations are given in order of priority, with key ones highlighted in bold font.

9. As argued in particular in the analysis of the Child Protection programme *UNICEF needs to increase its advocacy capacity, and to link this capacity far more closely with its monitoring and reporting systems*. The role of advocacy needs to be strengthened in order to ensure child and women's rights are kept high on the government agenda and the Government is held to account for supporting the CRC. In order for advocacy to be strengthened the contents of advocacy messages need to be based on experience and evidence of the UNICEF programme, for example, the impact of child sexual abuse on the child and community. (Action: CMT plus PMRE & Communications Sections)
10. It is recommended that gender analysis is mainstreamed into all UNICEF programming, with necessary training and competencies put in place.
11. To strengthen a joint approach to supporting child and women's rights UNICEF and government should develop clear agreements, for example, the development of multi-sector approaches to stop gender based violence, with jointly agreed objectives, plans of action and responsibilities. This will help develop mutually supportive actions to achieve results and each party will be accountable to the other for delivery of actions. (Action: CMT and key Government partners).

Appendix 1 Terms of Reference

Evaluation of the Country Programme of Cooperation between the Government of Sri Lanka and UNICEF Sri Lanka

1. Background and Context

The current Country Programme of Cooperation (CPC) between the Government of Sri Lanka (GoSL) and UNICEF covers the period 2002–2006. A Mid-Term Review (MTR) was completed in October 2004. Political developments during the period as well as the tsunami at the end of 2004 deeply affected programme implementation. The Mid-Term Review endorsed a key recommendation of a joint UNICEF-DFID-Sida evaluation, which took place in 2003, i.e. to adopt a *whole country approach*.

The Ceasefire Agreement (CFA) between GoSL and the Liberation Tigers of Tamil Eelam (LTTE) that came in place in early 2002 created the space to develop programme activities in the entire country as well as to aim for rehabilitation and reconstruction in the conflict affected areas. Yet, the tsunami at the end of 2004 and the consequent emergency response affected character and implementation of the CPC significantly in 2005.

The country programme of cooperation (CPC) is guided by human rights-based approach to programming and is planned and managed largely through results-based management principles. These results are specified hierarchically at three levels: impact, outcome and out puts. At the impact level results are changes in the realization of the rights of children. These are not achieved through the CPC alone but with partners. Similarly, outcomes which are changes of institutional, organizational, and community capacities are achieved in partnership. However, results at output are achieved through the CPC and the UNICEF and its partners in the government and others are accountable for achieving them

The next CPC cycle will be harmonized among United Nations Development Assistance Framework/ Programme (UNDAF/P) partners and cover the period 2008–2012. 2007 will therefore be a bridging period. The Government and the UNDAF/P partners are currently discussing the Common Country Assessment (CCA), which will lay the foundations of the new UNDAF/P. The new UNICEF supported CPC will be part of the UNDAF/P.

Consultations between GoSL, UNICEF and the Swedish International Development Agency (Sida), which is one of the key donors to the current CPC, have generated the initiative to conduct an evaluation of the UNICEF supported CPC in Sri Lanka with a particular focus on issues of partner capacity and sustainability. The exercise will be overseen by the Ministry of Plan Implementation of GoSL and UNICEF's, the Regional Office for South Asia (ROSA) and UNICEF Sri Lanka.

General Assembly Resolution 59/250 of 22 December 2004 on the triennial comprehensive policy review of operational activities for development of the United Nations system stresses that national Governments have the primary responsibility for coordinating external assistance and evaluating its contribution to national priorities. Resolution E/ICEF/2006/CRP.10 of 08 June 2006 by UNICEF's Executive Board calls on UNICEF to conduct evaluations of operations at the country level in close association with national Governments and to assist Governments in the development of national evaluation capacities

2. Purpose and Scope of the Evaluation

The main purpose of the evaluation is to feed into future strategy development particularly in relation to capacity³⁸ and sustainability. As Sri Lanka has crossed the threshold from low income country to lower middle-income country and is showing several comparatively satisfactory development indicators at national level (e.g. U5MR 17 per 1,000 live births), whilst regional disparities exist. In this context, the issue of type and degree of intensity of interventions required to minimise regional disparities both in terms of capacity needs and ensuring sustainability of interventions is required from an agency like UNICEF. The evaluation is expected to help reflect on key assumptions on which the 2002–2006 country programme has been based in light of improved capacity and ensuring sustainability.

A key aspect of the evaluation will be to analyse the capacity of all stakeholder and sustainability of interventions of the programme and related to this, sustainability of the results achieved for children. The evaluation will build on the MTR, but provide a more in-depth assessment of the role, design and focus of UNICEF support to the realisation of children's rights. The evaluation also asks fundamental questions about sustainability and synergy of supported initiatives.

The understanding the capacity and sustainability in the context of the country programme evaluation refers to the connotation of continued commitment by duty bearers and rightsholders to provide and seek services within the suggested framework of UNICEF-supported projects beyond direct UNICEF involvement. Sustainability of project interventions and strategies thus has to be seen as related to partner and Unicef capacities, socio-cultural structures, economic/financial feasibilities, policies, participation and ownership. The capacity analysis of the evaluation will form part of the methodology to evaluate sustainability of the country programme interventions.

3. Use of the Evaluation

The evaluation findings will feed in to the current process of UNDAF/P and UNICEF's Strategy Document and Country Programme Action Plan (CPAP). The CPE should also inform strategy development of major funding agencies, such as Sida, which is preparing its country programme framework for Sri Lanka.

The Evaluation of the country programmes will be anchored with the government of Sri Lanka who is a main user of the findings and is also increasing emphasis on monitoring and evaluation in public administration and has requested external partners to actively support these initiatives.

4. Objectives of the Evaluation

The *objectives* of the evaluation are the following:

1. Assess the capacity of partners and Unicef personnel to implement strategies and activities of projects at the different levels of implementation as identified by the CPC within a human rights based approach to programming.
2. Evaluate to the extent to which the planned results are achieved and is likely to be sustained within each of the programme areas of the CPC.
3. Assess the cost effectiveness of programmes or selected projects of the CPC.
4. Identify gaps in design and planning of projects that constrained sustainability of implemented programmes

³⁸ Capacities in this context mean knowledge, attitude, practice, skills, motivation, commitment of duty bearers and institutional capacities including human resources, policy framework and administrative procedures.

5. Key Questions

1. Are duty bearers and claim holders involved and targeted by programmes/projects endorsing the programme/project concepts and accepting and using results?
2. Is there sufficient capacity to achieve and sustain results in terms of available and allocated resources? What are the capacity gaps for achieving results for children within a rights based approach to programming.
3. Does the CPC assess, analyse and strengthen national capacities adequately? Are there exit strategies for programmatic areas where adequate national capacities exist?
4. Are programmes/projects supported by an adequate policy and institutional environment?
5. Have UNICEF supported initiatives and models been replicated and/or adapted by national partners without direct involvement of UNICEF? How successful were these experiences?
6. Are selected projects cost effective or cost efficient?
7. Has the UNICEF Tsunami recovery Programme added to the sustainability of UNICEF-supported interventions?
8. Are strategies implemented suitable for all areas of the country? Does intensity needs to be varied in more deprived areas of the country
9. Will Unicef supported projects and programmes be continued by partners once support is withdrawn or phased out?
10. To what extent does the CPC contribute towards conflict prevention in the country?
11. What are the gaps in programme theory, design and planning of Unicef CPC that has affected sustainability ?
12. What lessons to be incorporated from the current CPC in terms of possible programmatic areas for the next country cycle and to ensuring greater sustainability including assessment, analysis and development of capacities for achieving results for children.

The evaluation questions will be further discussed and finalised in discussion with the consultants.

6. Programme Specific Focus of the Evaluation

While the evaluation will provide an overview of the whole country programme and the sectoral programmes according to the above, the main focus and weight of the evaluation will be clearly laid on selected projects as outlined below.

1. Early Childhood Development Programme
 - Early childhood development programme interventions contribute towards on reduction of maternal, neonatal and infant mortality, child survival, growth, nutrition and development.
2. Learning Years Programme
 - Improvement of quality of education through the child-friendly school concept and catch-up education to improve quality of education within the current education framework.
3. Adolescence/HIV Programme
 - Life skills based education strategy promoting adolescent awareness on risky behaviour.

4. Protection Programme

- Psycho-social project supporting children in need.
- Project support to strengthen social service infrastructure for the protection for abused children and women, including the National Child Protection Agency, the children's and women's police desks and the District Child Protection Committees (DCPCs).
- Prevention of commercial sexual exploitation of children.

7. Methodology

The evaluation will be guided by commonly accepted evaluation norms, standards and approaches (especially UNEG Norms and Standards³⁹). It will ensure *utility* (ownership by stakeholders), *feasibility* (political viability and cost-effectiveness), *propriety* (impartiality, respect of rights of stakeholders, cultural sensitivity) and *accuracy* (adequate information). UNICEF's *evaluation report standards and style guide* will be followed when preparing the evaluation report.

Key methods and outputs for the conduct of the evaluation will be the following:

- a) A comprehensive desk review of external and internal documents that are relevant to the current Country Programmes including a review of past and recent studies, reviews and evaluations of projects and programmes

Selection of a sample of projects and programmes in all sectors as outlined under "5. Programme specific focus of the evaluation" which will be the subject of more in-depth assessments to illustrate strategic issues implied by objectives and key questions of the evaluation.

- b) Within three weeks after the start of the exercise, presentation of an inception report comprising of a broad outline of final report;
- c) An extensive round of interviews and focus group discussions with key stakeholders in the CPC (Government, NGO's, UN agencies, opinion leaders, children, etc. at both national and local levels)
- d) Field visits to the selected provinces and districts to gain first-hand information of the implementation of projects and programmes (pending security clearances)
- e) Organisation of a participatory workshop, during which main findings, conclusions and recommendations of the evaluation will be discussed, validated and finalised.
- f) A management response and action plan by GoSL and UNICEF concerning conclusions and recommendations emanating from the evaluation.

The evaluation will be a participatory process that will give due importance to self-assessment by stakeholders involved in Country Programme design and implementation. All information will to the largest possible extent be triangulated (use of three or more sources of information to verify and substantiate an assessment) and validated. Findings, conclusions, recommendations and lessons learned should clearly be user-oriented and feed into major decision-making during strategy development for the next Country Programme.

The selection of sites for field visits will be inspired by one or more of the following criteria:

- the maturity of the programme, project or activity within the Country Programme;
- the wealth of experiences and the chances of their generating interesting lessons;
- strategic interest of the programme, project or activity for the whole Country Programme.

³⁹ <http://www.uneval.org/docs/ACFFC9F.pdf>

It should be mentioned that support provided to tsunami-affected areas of Sri Lanka is subject to a separate evaluation process, part of which has already been accomplished and part of which is foreseen to take place in 2007. The emphasis of this evaluation is therefore on the *whole country approach* recommended by the MTR of 2004.

7.1 Information Sources

Information on the country programme and capacities could be found in the documents.

- Master Plan of Operation of the Government of Sri Lanka-UNICEF programme of Cooperation 2002–2006.
- Mid Term Review of the Government of Sri Lanka-UNICEF programme of Cooperation 2002–2006.
- Annual Reports
- Evaluations and studies which the country office recommends.
- Tsunami related assessments, evaluations and documentations.
- Other documents for emergency preparedness and response to be recommended by the country office.

8. Organisation and Management

The evaluation will be overseen by a Steering committee comprising of members from the Ministry of Plan Implementation of GoSL (Foreign Budget Monitoring Department) and UNICEF (Country and Regional Office for South Asia in Kathmandu), and the Sri Lankan Evaluation Association. The Sida may provide an evaluation consultant to be part of the steering committee and provide input to the Evaluation team. This Steering committee will periodically review and advise on interim products (TOR, inception report, draft report etc.).

The Team Leader will formulate the required evaluation team consisting of international and national consultants, who will conduct the evaluation. The team leader will be contracted by Unicef Sri Lanka for this task.

The Evaluation Team will comprise of 03 international consultants (including the team leader) and 01 national consultant:

The *team leader* (international) will coordinate the activities of all team members and deal with overall issues related to the evaluation. The team leader formulate the team of International consultants and national consultants (where will S/he will notably cover aspects related to overall programmatic choices, capacity strengthening, the gender dimension and children affected by armed conflict. S/he will also be primarily responsible for the identification of issues that will require more in-depth attention. S/he should have extensive experience in programmatic evaluation (preferably in UNICEF and/or the UN), have some experience in humanitarian evaluation, and possess proven communication, facilitation and writing skills. Previous experience in Sri Lanka and/or in countries in the region would be an advantage. The Team leader will also need to be able to cover one of the three areas where international consultants is required.

- (a) The (international) nutrition and health expert will deal with all issues related to the integrated early childhood development (IECD) strategy with a special focus on capacity building for health and nutrition programmes in the North East. S/he will conduct the illustrative in-depth assessments of projects and programmes in this area.

- (b) The (international) education expert will deal with all issues related to the improvement of the quality of education through the child-friendly school concept. S/he will also deal with the Life-Skills Programme for adolescents related to HIV/AIDS. S/he will conduct the illustrative in-depth assessments of projects and programmes in this area.
- (c) The (international) child protection expert will deal with issues related to protection strategies for children and women having suffered from abuse and exploitation, strategies adopted by the under-age recruitment project and the psycho-social support project under the protection programme. S/he will conduct the illustrative in-depth assessments of projects and programmes in this area. S/he will conduct the illustrative in-depth assessments of projects and programmes in this area.
- (d) The (National) consultant on evaluation with a Development/Sociology/ Economic academic qualifications will assist in contextualising the programmes.

9. Qualifications

All team members will have

- i. Postgraduate qualification in social sciences preferably with academic training in evaluation
- ii. At least 10 years experience in evaluating large development programmes
- iii. Good understanding and experience with evaluating human rights based approach to programming and results based management.

At least one team member to have experience in evaluating programmes related to one or more of the following programmes: integrated young child development, HIV/AIDS programmes, education, child protection, conflict and humanitarian assistance.

In addition the team leader should have similar experiences in management of a team of evaluators in a developing country setting.

Experience with evaluating UN, especially UNICEF country programmes is an advantage.

All team members should be fluent in English, both written and spoken.

All members of the team should be highly gender-sensitive.

10. Deliverables

The Team Leader will deliver the following:

- i. Detailed proposal with a) specific methodology for the evaluation. b) Detailed outline of the report.
- ii. Draft evaluation report for comments
- iv. Final report incorporating the comments conforming to UNICEF writing style, the agreed outline, and UN evaluation standards..
- iv. A summary of the analysis for wider dissemination and a power point presentation for dissemination of results.
- v. An electronic file on CD containing all relevant discussions and proceedings including the notes and proceedings of participatory assessments.

The Sri Lanka Country Office of UNICEF will assume responsibility for all aspects related to relations with GoSL and ensure UN security arrangements.

Appendix 2 List of People Met

Colombo

Name	Designation	Organization
Mr. Ratnayake		Department of National Planning
Dr.Harsha Athurupane	Education Specialist	The World Bank
Ms.Kerstin Eppert	Conflict Prevention & Recovery Analyst	UNDP
Ms.Indrani Sugathadasa	Secretary	Ministry of Child Development & Women's Empowerment
Mr.Suhada Gamlath	Secretary	Ministry of Justice
Ms.Chandra Ekanayake	Dep. DirectorGeneral	Department of External Resources
Mr. Kumarasiri		
Mr. Bandara		
Mr. H. A. Laxman	Director	Community Strength Development Foundation
Mrs. Viji Jegararasingham	Secretary	Ministry of Social Services & Social Welfare
Mr. Wijeratne	Director, Planning	Ministry of Education
Mr. H. P. N. Lakshman	Director, Non-Formal Education	
Mrs. Asoka Pandithasekera	Director, Primary Education	
Dr. Jayanthi Gunasekera	Director	National Institute of Education
Mr. Sivagnanasothy		Ministry of Plan & Implementation
Mr. Wijeratne		
Mr. M. S. Jayasinghe	Advisor/Consultant	Ministry of Nation Building & Infrastructure
Mr. Ravi Waidyalankara SSP	Director	Bureau for the Protection of Children & Women – Department of Police
Mr. Nanayakkara	Consultant/Formal Director General	Department of Census & Statistics
Ms. Dulani Sirisena		DFID
Ms.Mallika Samaranayake	Chairman	IPID/Sri Lanka Evaluation Association
Ms. Bianca Abeygunawardene		Sarvodaya Peace Council
Ms.Crishara Paranawithana		Consortium for Humanitarian Agencies
Mr.Doug Graham	Country Director	WUSC
Ms.Sheila Savage		
Mr.Mangala Randeniya		Foreign Employment Bureau
Ms.Sharma Salgado		ILO
Ms.Visakha Tillekeratne		WFP
Ms.Padma Wettewa		National Child Protection Authority
Dr.Pakiasothy Saravanamuttu		Centre for Policy Alternatives
Mr.David Bridger	Country Director	UNAIDS

Other Locations

Place/Institution	Designation	Name
Family Health Bureau (MOH)	Director MCH	Dr Vineetha Karunaratn
	ECD coordinator	Dr. Sudarshini Fernandopulle
	MO in charge of school health	Dr. Nellie Rajaratne
	MO in charge of Breast feeding and neonatal care	Dr. Godakanda
	MO/New born care plantations	Dr. Ratnayake
Plantations Human Development Trust	Medical Director	Dr. Manil Fernando
	Program co-ordinator	Manel Wanigaratne
Anuradhapura	Medical Officer Maternal and Child Health (MOMCH)	Dr. Chandana Gallage
	Voice of Youth NGO	Senaka Dumbawinne
	Legal Aid Commission	D P B Mahalwena
	Sampsevaya	Samson Jayasinghe
	Children's & Women's Desk	P.A.Reeta
Trincomalee	Deputy Provincial Director of Health Services (DPDHS)	
	Medical Officer of Health Kinniya	Dr. A.H. Sameem
	Principal, Vuvalananda Primary School	Mr. Kalarajah
	Provincial Probation & Child Care Service	P. Ravichandran
Nuwara Eliya	Regional Director, Plantations Human Development Trust	Mr. Atula Bowatte
	Manager Health	Mr. Gamini Randunegge
	Project Officer Health	Mangalika Jayatunga
	DPDHS/Nuwara Eliya	
	Health Committee Dunsinne Estate	Lists of names given
	Estate Medical Assistant and his team, Oliphant Estate	Lists of names given
	Medical Officer of Health, Thalawakelle	Dr. Chaminda Ranawake
	Medical Officer of Health, Ambagamuwa	Dr. U. K. Rajapaksa
Moneragala	DPDHS	Dr. Thilak Siriwardena
	Regional Epidemiologist	Dr. P. L. Attapattu
	MOMCH	Dr. A.M. Senerath Bandara
	Medical Officer of Health	Dr. Sunil Udunuwara
	Public Health Midwife – Madulla, health volunteers and mothers group	
	Medical Officer of Health and team Siyambalanduwa and mothers group	
	Deputy Zonal Director of Education	Mr. A.M.P. Abeykoon
	Principal, Karanagama Junior School	Mr. A. M. Wijeratne
	Programme Officer, Probation Office, Moneragala	Ms. Manjula Kumarage

Appendix 3 List of Assessments, Reviews, Evaluations and Studies conducted in the period 2002–2006

Year	Title	Report Type
2006	Follow-up of Protective Measures for tsunami affected Unaccompanied and Separated Children	Assessment
2006	The Probation and Child Care System in Sri Lanka	Study
2006	Assessment of Voluntary Homes for Children	Assessment
2006	Management Study of National Child Protection Authority	Assessment
2006	Assessing Psychosocial Needs: What are we looking for and why? Analysing psychosocial needs assessment in Sri Lanka post-tsunami	Assessment
2006	Politics, Power Dynamics and Disaster in Districts of Sri Lanka	Study
2006	People's Verdict on Tsunami Recovery in Sri Lanka	Assessment
2006	Gendering the Tsunami: Women's Experiences from Sri Lanka	Assessment
2006	Review of the Action Plan for Children Affected by War in Sri Lanka	Assessment
2006	Assessment of Supply Needs for Newly Constructed Schools	Assessment
2006	Assessment of Temporary School Facilities constructed by UNICEF in Sri Lanka – their and fourth rounds	Assessment
2006	Child Health and Welfare Survey in Puttalam District	Assessment
2006	Iodine Nutrition Status in Sri Lanka – 2005	Assessment
2006	Analysing the causes of Child Undernutrition in Sri Lanka	Assessment
2006	Assessment of Nutritional Status of Children and Women Affected with Tsunami – third round	Assessment
2005	Assessment of Unaccompanied Children in Tsunami Affected districts	Assessment
2005	Children's zones of Peace	Assessment
2005	Child Welfare Surveys in Killinochchi and Mullaitivu districts North and East Districts	Assessment
2005	Water and Sanitation Settlements in Internally displaced persons camps and Transitional centres in Tsunami affected areas – Third assessment	Assessment
2005	Water and Sanitation Settlements in Internally displaced persons camps and Transitional centres in Tsunami affected areas – Second assessment	Assessment
2005	Water and Sanitation Settlements in Internally displaced persons camps and Transitional centres in Tsunami affected areas	Assessment
2005	Assessment of nutritional Status of Children and Women Affected with Tsunami – Second Assessment	Assessment
2005	Assessment of nutritional Status of Children and Women Affected with Tsunami	Assessment
2005	Rapid assessment: Concerns and preferences of tsunami affected IDPs in Ampara, Galle and Jaffna districts (with UNHCR)	Assessment
2004	UNICEF Review of Social Work for Under-age Recruits	Review
2004	UNICEF – A Study on Violence against Women and Children, Central Province – Kandy District	Study
2004	A Study on Child Rearing Practices and Gender Role Socialization Prevalent in Selected Communities in Sri Lanka – A Pilot Study UNICEF	Study
2004	Formative Evaluation of the Early Childhood Programme	Evaluation
2004	The Evaluation of Services Provided to Women and Children who are Victims of Domestic Violence by Women in Need and Diri Piyasa	Evaluation
2004	Peace and Conflict Impact Scan	Assessment
2004	Catch-up Education Response among Children affected by Conflict: A UNICEF implementation Strategy for Northern and Eastern Areas of Sri Lanka	Assessment
2004	Best Practices in five selected schools on Peace Education	Assessment
2004	Rapid Assessment of School Health Programme	Assessment
2004	Evaluation of Child Friendly Schools Programme	Evaluation

Year	Title	Report Type
2004	Evaluation of Mine Risk Education Programme of UNICEF	Evaluation
2004	National Survey on Adolescents Issues	Assessment
2004	Child Welfare Surveys in eight North and East Districts	Assessment
2004	Child Welfare Surveys in Seven UNICEF Focus Districts	Assessment
2003	National Study on Child Care provision in Pre-Schools in Sri Lanka	Study
2003	Making Sri Lankan Schools Child Friendly	Review
2003	Physical, Emotional and Sexual Abuse of Children in Sri Lanka: Parents' and Children's Perspectives	Study
2003	Women's Right to Life and Health: Needs Assessment Study in the North and East	Assessment
2003	Maternal Mortality Experience: The Sri Lankan Experience	Review
2003	Assessment of coverage of micronutrient supplementation in Sri Lanka	Assessment
2003	Study of Good Practices in Children and Young People's Participation in South Asia: child Development Initiatives at Galle – A Case Study from Sri Lanka	Study
2003	Study of Good Practices in Children and Young People's Participation in South Asia: child Development Initiatives at Kurunegala – A Case Study from Sri Lanka	Study
2003	Child Participation in Sri Lanka: A Review of National Policy, Legislation and Practice, Comprehensive Mapping of Child Participation Initiatives in Sri Lanka	Review
2003	A Case Study: Integrated Early Childhood Care and Development Programme	Assessment
2003	Assessment of Anaemia Status of Sri Lankans 2001: A Survey Report	Assessment
2002	Joint DFID/Sida/UNICEF Review of UNICEF Children Affected by Armed Conflict Programme in Sri Lanka	Review
2002	Rapid Needs Assessment for Education of Children Affected by Armed Conflict in Sri Lanka	Assessment
2002	Evaluation of the Psychosocial component of the Children Affected by Armed Conflict Programme	Evaluation
2002	Evaluation of the Protection Programme Component of the 1997–2001 country Programme	Evaluation
2002	Evaluation of the Nutrition Education Materials developed in previous country programme	Evaluation

Appendix 4 Key Issues and Topics as a Basis for Data Gathering

Program/Project Description

- What does the program/project try to achieve
- How does the program/project try to achieve this
- Activities that they implement
- Who they work with – partnering

Results Obtained So Far

- Extent to which outcomes were reached incl capacities built
- Contributions to impact
- Unexpected/unforeseen results
- Effects of conflict situation

M&E Systems in Place

- Data gathering
- Analysis of data & feed-back
- Use of M&E information
- Building M&E capacities of partners
- Learning mechanisms

Sustainability

- Most/least sustainable aspects of programme
- How to improve aspects of sustainability
- Aspects mentioned in TOR include:
 - Partner & UNICEF capacities
 - Socio-cultural structures
 - Economic-financial feasibility
 - Policies
 - Ownership

Relevance

- Role of UNICEF
- Linkages with National and/or partner programmes
- Key learnings, best practices

Documentation

- Organisational Chart
- Workplans
- M&E planning
- M&E reporting formats
- Overview outcomes/impact achieved
- Project reports
- Other reports/documents

Appendix 5 Financial Data UNICEF Sri Lanka 2002–6 (excluding Tsunami funding)

Programme	2002 Expenditure (USD in 000's)	2003 Expenditure (USD in 000's)	2004** Expenditure (USD in 000's)	2005 Expenditure (USD in 000's)	2006 Expenditure (USD in 000's)	Total Expenditure (USD in 000's)
ECD	1493.747	3549.295	851.895	1512.252	1985.207	9392.396
LY	204.562	82.617	143.844	790.256	912.134	2133.413
Adolescence	53.404	194.57	74.411	152.108	174.572	649.065
Protection	401.09	406.733	859.267	1270.911	1851.21	4789.211
Children Affected by Armed Conflict	300.618	1054.848	463.01	44.836	156.872	2020.184
Planning/Advocacy	120.747	162.539	110.182	211.297	134.231	738.996
Total CP	2574.168	5450.602	2502.609	3981.66	5214.226	19723.265
Emergency – CAAC	3702.161	6040.078	7758.501	1272.584	-104.537	18668.787
Emergency – ECD	0	918.613	2058.473	2904.201	1759.886	7641.173
Emergency – LY	559.498	713.923	45.853	1071.063	857.591	3247.928
Emergency – Adolescence	0	0	0	147.322	102.724	250.046
Emergency – Child Protection	0	0	0	1238.785	548.084	1786.869
Emergency – Plnng/Advocacy	0	0	39.648	58.105	331.578	429.331
Total Emergency	4261.659	7672.614	9902.475	6692.06	3495.326	32024.134
Total UNICEF	6835.827	13123.216	12405.084	10673.72	8709.552	51747.399

** 2004 figures are from Annual Report

Appendix 6 Organisational Capacity Pyramid

The approach of this evaluation to capacity building was informed by a tool for capacity assessment developed by McKinsey in 2001. This sets out a “capacity framework” for the non-profit sector, which it defines as “a pyramid of seven essential elements: three higher-level elements – aspirations, strategy, and organizational skills – three foundational elements – systems and infrastructure, human resources, and organizational structure – and a cultural element which serves to connect all the others.” The seven elements are defined as follows:

Box 1: Elements of the Organisational Capacity Pyramid

Aspirations: An organisation’s mission, vision, and overarching goals, which collectively articulate its common sense of purpose and direction

Strategy: The coherent set of actions and programs aimed at fulfilling the organisation’s overarching goals

Organisational skills: the sum of the organisation’s capabilities, including such things as performance measurement, planning, resource management, and external relationship building

Human Resources: The collective capabilities, experiences, potential and commitment of the organisation’s board, management team, staff and volunteers

Systems and Infrastructure: The organisation’s planning, decision making, knowledge management, and administrative systems, as well as the physical and technological assets that support the organisation

Organisational Structure: The combination of governance, organisational design, inter-functional coordination, and individual job descriptions that shapes the organisation’s legal and management structure

Organisational Culture: The connective tissue that binds together the organisation, including shared values and practices, behaviour norms, and most important, the organisation’s orientation towards performance

Appendix 7 Framework for Addressing Evaluation Questions

Question from ToR	Underlying Issues/questions	Data needed for answer	How to collect/ analyse this data	Person leading
1 Are duty bearers and claim holders involved and targeted by programmes/projects endorsing the programme/project concepts and accepting and using results? <i>This question is primarily about participation. The questions about RBA overarch all question areas.</i>	Is there a clear definition of RBA? How well internalised by partners/'claim holders'? Do other donors support or undermine this approach? <i>Do partners support or undermine this approach?</i> <i>Is RBA over-arching or seen as a separate/stand-alone programme/project?</i> <i>How are stakeholders involved in the decision making process and in the monitoring of programme and projects?</i> <i>How do duty bearers and claim holders work together to develop and implement programmes/projects?</i> <i>When targeting duty bearers and claim holders for involvement with decisions, monitoring and so forth how is representation ensured?</i> <i>How is participation, by all involved, ensured within the programme?</i> <i>What process or guidelines are in place?</i>	Data on how actual prog. Content of RBA progs. Differ from 'service' progs; <i>Evidence of stakeholders being involved in decision making at all levels. Not sure where this may be found.</i> <i>How programmes are linked to other human rights/ rights based policies, conventions, legislative structures? (This is generic for whole programme)</i>	Discussions with UNICEF staff & partners (NGOs, government) <i>Discussions with 'claim holders'</i> <i>Meet with groups (govt, community, partners) who are involved with implementation and monitoring of projects; or parts of the programme.</i>	
2 Is there sufficient capacity to achieve and sustain results? What are the capacity gaps for achieving results for children within a rights-based approach to programming? <i>The RBA questions from above apply here too. In fact they overarch all question areas.</i>	Is capacity the issue or other factors –eg conflicting pressures on GoSL; UNICEF; partners and communities. Is there a problem about absorption? Is there a gap between giving 'rights training' and practical implementation? Is there capacity to move services, projects etc into rights based working practices?(for example staff who understand RBA sufficiently to actively/practically make it work through changing procedures, policies, practices within the work they do and monitoring outcome, basically applying what is 'learnt'. Is there a capacity gap in terms of understanding what is expected developmentally in order to achieve the expected result?	Data on current capacity & how this has changed since 2002	Meetings with front line staff, esp. in north-east where capacity 'gaps' are most acute Ministry staff (e.g. MSW, MoH, MoEd) partners, Need to meet programme providers and users in different areas to gain an understanding about context for capacity issues.	
3 Does the CPC assess, analyse and strengthen national capacities adequately? Are there exit strategies for programmatic areas where adequate national capacities exist?	How does UNICEF assess capacity' at present? Does its M & E system 'capture' capacity issues? Re exit strategies: are there examples of where GoSL has taken over UNICEF-funded programmes?	Info. On how capacity is currently assessed & exit strategies	Document reviews. Meetings with staff & partners	

Question from ToR	Underlying Issues/questions	Data needed for answer	How to collect/ analyse this data	Person leading
4 Are programmes/ projects supported by an adequate policy and institutional environment?	How has this environment changed as a result of Tsunami & conflict? <i>How does the programme link into government policies?</i> <i>How does the programme partner government and state institutions?</i> <i>How can the programme and its partners hold the policy and institutional environment to account for its responses and actions?</i> <i>What is the programmes experience with the institutions it partners and collaborates with?</i>	Info. Re. overall context & how this has changed Break down of the institutions the programme works with, partners and collaborates with and any institutional appraisals, audits and analysis undertaken.	Meetings with GoSL, other partners, & donor agencies <i>Meetings with civil society groups to gauge their experience of government support.</i>	
5 Have UNICEF supported initiatives and models been replicated and/or adapted by national partners without direct involvement of UNICEF? How successful were these experiences?	Overlaps with 3 above <i>Are there any lessons that UNICEF has learnt from initiatives and/or models being taken over or replicated?</i>	Examples of nat. partners taking over progs. Started by UNICEF?	Meetings with nat. partners, plus documentary evidence, esp. evaluations	
6 Are selected projects cost effective or cost efficient?	Need to review outputs vs inputs of a sample of progs (if feasible) <i>Need to look at needs versus cost and how programmes are chosen/prioritised.</i> <i>What is important to UNICEF in looking at cost effectiveness and efficiency? For example social costs.</i>	Financial data Monitoring reports? "Review of funding application versus needs" internally undertaken in 16 focus districts.	Document review Discussion with staff at all levels, esp. PME & Finance staff	
7 Has the UNICEF Tsunami recovery Programme added to the sustainability of UNICEF-supported interventions?	Impact of Tsunami programme on (a)UNICEF itself; & (b) on UNICEF-funded interventions	UNICEF Reports & Tsunami Evaluation	Discuss in meetings/ workshops with (a) UNICEF staff' (b) partners (c) civil society	
8 Are strategies implemented suitable for all areas of the country? Does intensity needs to be varied in more deprived areas of the country	Growing north/south divide due to conflict. Areas of greatest need are hardest to access & operate in. Is a 'country-wide approach' a helpful concept in this context? How does UNICEF analyse for vulnerable/marginalised/deprived areas and groups? What are the 'criteria'? What levels are considered? How does UNICEF decide where to target their approach? How does UNICEF liaise with government, other donors, partners in deciding on which areas/communities/individual groups to target?	Strategy documents Field visits to different areas(south/ estates/ Disputed/war zones)	Review & discuss current strategies & their flexibility <i>Meetings with District committees (or whoever at district and other levels of local government), NGOs and INGOs and activists (round-table discussions)</i> <i>Govt. decision makers (Planning or??)</i>	

Question from ToR	Underlying Issues/questions	Data needed for answer	How to collect/analyse this data	Person leading
9 Will Unicef supported projects and programmes be continued by partners once support is withdrawn or phased out?	Also overlaps with 3 above. NB this question assumes other agencies (<i>they can be partners?</i>) will not take on funding once UNICEF support is withdrawn.	Info. From staff & partners re. what happens once UNICEF funding ends; Info. on other sources of funds for UNICEF-funded programmes	Discussions with staff, & partners	
10 To what extent does the CPC contribute towards conflict prevention in the country?	Does UNICEF have a strong & frequently updated analysis of the conflict? Can any of its programmes be said to 'prevent' future conflict, or do they try only to mitigate its impact? <i>What does UNICEF mean by conflict prevention?</i> <i>Does UNICEF think that their programme contributes towards conflict prevention at different levels, for example, family, community?</i> <i>Can conflict prevention strategies at community level contribute to national conflict prevention?</i>	Assumptions underlying current CPC in relation to conflict issues. Impact of CPC on conflict 2002–6 Any conflict analysis documentation (for any/all levels) Any 'intelligence' documentation	Meetings with front line staff of UNICEF, GoSL, & LTTE Political Wing(if possible) <i>Civil society, a round-table with NGOs, activities, community leaders.</i>	
11 What are the gaps in programme theory, design and planning of Unicef CPC that has affected sustainability?	Is sustainability most constrained a) by Programme design issues; or b) by other contextual issues <i>What accountability mechanisms are built into the programme?</i> <i>Is UNICEF as an organisation geared up to develop sustainable programmes or is this a new concept for them?</i> <i>What are the pressures for them to be sustainable and where are these coming from?</i> <i>What does sustainability mean for UNICEF?</i>	UNICEF documents	Discussions with staff & partners	
12 What lessons to be incorporated from the current CPC in terms of possible programmatic areas for the next country cycle and to ensuring greater sustainability including assessment, analysis and development of capacities for achieving results for children.	Our recommendations for the future CPC, with a special focus on how greater sustainability and accountability can be achieved in the next cycle <i>Recommendations about how capacity building can be built into the programme.</i>	Overall analysis of data collected in the whole CPE.	Workshop proposed following circulation of draft report (to be part of second visit)	

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