

Institutional Strategy



**UNITED NATIONS CHILDREN FUND
(UNICEF)**

**UK INSTITUTIONAL STRATEGY
2009 - 2011**

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A. Summary

A1. This Institutional Strategy (IS) sets out the framework for the UK's future engagement with United Nations Children's Fund (UNICEF) in support of its work to help achieve the Millennium Development Goals (MDGs). The purpose of the IS is to support the implementation of UNICEF's Medium Term Strategic Plan (MTSP) and improve the effectiveness of the UN system.

A2. The UK wants to provide a larger proportion of its multilateral funding to the better performing United Nations Agencies. This IS will be used to assess UNICEF's performance and inform the release of core funding.

A3. The IS describes UNICEF's role, mandate and an analysis of its strengths and areas requiring increased support. However the main element of the IS is a Performance Framework (PF, Annex A) which sets out indicators and annual targets that DFID will use to monitor and assess performance over the period of the IS. The PF focuses on those areas that will have the biggest impact on helping UNICEF to fulfill its mandate and achieve the MDGs.

A4. The PF has been developed from UNICEF's MTSP and the existing Joint Institutional Approach (JIA) between UNICEF, the UK, Canada and Sweden. It includes targets at outcome and output level that are in the scope of UNICEF's mandate. It is recognised that the higher-level targets are nationally-owned and that UNICEF cannot be held solely responsible for their delivery. Core funding decisions will, therefore, be based on an assessment of performance at output-level. However UNICEF's role as strong advocate for children's rights can have tremendous influence on development outcomes and we will also assess progress against critical outcomes at the purpose and goal level.

Critical Outcomes

1. Increased and sustained coverage of high impact preventive and outreach interventions for women, girls and boys.
2. Demonstrated, consistent, reliable, timely and effective responses in humanitarian situations.
3. Increasing proportion of grade one cohorts (especially girls) who reach at least the last grade of primary school.
4. Increased coverage, quality and coordination of the global response for children affected by HIV/AIDS.
5. UNICEF actively engaged in UN reform, harmonising and aligning with UN partners.
6. UNICEF becomes a more effective and efficient organisation.

B. Background and Analysis.

B1. UNICEF's mandate is to advocate for the rights of the child, to meet their basic needs and expand opportunities to meet their full potential. In humanitarian situations, UNICEF is responsible for coordinating the UN and NGO responses for nutrition, water, sanitation and hygiene and, with Save the Children, education.

B2. UNICEF is governed by its Executive Board comprised of 36 member states from across the UN's membership. Policy is decided by the Board and UNICEF's senior management is accountable for the implementation of Board decisions. The UK works with UNICEF's senior management team and all Board members to improve the organisation's effectiveness and its contribution to the UN reform agenda.

UNICEF's guiding principles

Convention of the Rights of the Child (CRC)

The Convention on the Elimination of all forms of Discrimination Against Women (CEDAW)

The Millennium Declaration and related Millennium Development Goals

The outcome document of the 2005 Millennium World Summit

The commitments included in "A World Fit for Children"

B3. UNICEF is a highly visible brand attracting funding from both government and private donors. UNICEF's annual budget in 2008 was \$3,390 million, of which \$986 million (29%) was private contributions. UNICEF's work contributes towards achieving the MDGs and human rights commitments relating to children.

MDGS relating to children

MDG 1 Eradication of extreme poverty and hunger

MDG 2 Universal primary education

MDG 3 Promote gender equality and empower women

MDG 4 Reduce child mortality

MDG 5 Improve maternal health

MDG 6 Combat HIV/AIDS, malaria and other diseases

B4. UNICEF's framework to achieve the MDGs is its Medium Term Strategic Plan (MTSP). UNICEF's Executive Board agreed in September 2008 to an extension of the MTSP until 2013. It covers the following thematic areas:

Young child survival and development

Basic education and gender equality

HIV/AIDS and children

Child protection from violence, exploitation and abuse

Policy advocacy and partnerships for children's rights

Achievements

B5. UNICEF has helped to deliver a number of successes for children. For example, in 2006 annual deaths among children under five fell below 10 million to 9.7 million, representing a 60 per cent decline in child mortality rates since 1960. Measles deaths in Africa fell by 91 per cent between 2000 and 2006. Through the Education in Emergencies and Post-Crisis Transition Countries programme, millions of children in Liberia and Southern Sudan go to school after decades of armed conflict. In Tanzania 95% of children under five years receive vitamin A preventing blindness and reducing child mortality.

B6. UNICEF helped to broker agreement in 2008 on the UN Management and Accountability framework (the 'firewall'). Among other things this separates the role of the Resident Coordinator (RC) as UN country team leader from that of UNDP coordinator country director. This agreement is important as it enables the Resident Coordinator to both have an equal relationship with all UN country team member agencies, but also to be sufficiently empowered with clear recognition by each agency of his/her role in strategically positioning the UN in each country.

Challenges

B7. Many of the MDGs are off track. The global financial crisis exacerbates the risks to poverty eradication. Reviews of UNICEF's performance, a gender evaluation and recently the Mid Term Review of the MTSP have highlighted some important key challenges for UNICEF if it is to play its full role in supporting National Governments to achieve the MDGs.

Key Challenges for UNICEF

- To accelerate support for the implementation of evidence-based strategies to achieve the MDGs and children's rights.
- To continue to move away from project implementation towards working more up-stream in policy and strategic engagement in support of national plans and capacities.
- To avoid being drawn into vertical activities and working in isolation of other UN organisations.
- To speed up implementation of the adopted recommendations of the Organisational Review to help UNICEF be a more effective and efficient organisation.
- To increase gender mainstreaming within UNICEF internally and through its programmes.
- To improve cluster leadership in humanitarian crises.
- To play a central role implementing the 'Firewall' agreement and be a leader in the UN support for Delivering as One (DAO) in-country.

Objectives 2009 – 2011

B8. The IS sets out the framework for the UK's future engagement with UNICEF. The central component of the IS is a performance framework (PF) which sets out the indicators and targets against which UNICEF's progress will be measured and against which DFID's funding decisions will be made. The purpose of the IS is to support the implementation of UNICEF's MTSP.

B9. The PF focuses on three impact areas: MDGs; improved humanitarian response, and organisation reform. Progress in all these areas will help improve UNICEF's contribution to the MDGs. Within these three impact areas the PF sets out critical outputs (based on UNICEF's own Organisational Targets) against which performance will be measured.

B10. A number of indicators and targets will be used to measure progress. Almost all of these have been taken from the MTSP or JIA and can be

monitored through UNICEF's annual report and accompanying documents. Other targets can be monitored without imposing additional reporting on UNICEF and are taken from existing UNICEF commitments, such as the "firewall" implementation plan and the International Health Partnership (IHP).

B11 This IS will run concurrently with the Joint Institutional Approach (JIA), a partnership between DFID, Canada and Sweden. The JIA and PF in many areas are mutually reinforcing.

C. The strategy for meeting the IS objectives

C1. In 2008 DFID provided £21 million in core funding to UNICEF based on good performance against the JIA. In 2009 funds will continue to be released based on an assessment of progress against the JIA. From June 2010 we will be able to assess progress against the targets in the PF and use this as the basis for funding decisions. Additional core funding will be available subject to performance against a small number of targets taken from the PF. This is in line with DFID's wish to provide more and better funding to UN Agencies that perform well.

C2. Key partners within DFID are the Humanitarian Institutions and Policy Team who are working to improve the capacity of UNICEF to act as global cluster lead in Water and Sanitation (WASH), Nutrition, and Education. They will be working closely with UNICEF Emergency Operations Division (EMOPS) on improving UNICEF's performance and its co-ordination and leadership responsibilities during humanitarian crises. It is planned that funds previously earmarked for EMOPS will be put through core from 2010, earmarked for UNICEF's Humanitarian Thematic Fund.

C3. The indicators and targets in the PF will be reviewed in consultation with UNICEF and, where appropriate, revised annually. The annual review will provide an opportunity for dialogue with UNICEF about performance against the targets and areas that need additional support and attention.

D. Performance Framework

PROJECT TITLE	UK / UNICEF Institutional Strategy 2009 - 2011						
GOAL	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions	
To support UNICEF's contribution to the MDGs (1,3,4,5,6,7)	Under 5 mortality rate (U5M) ¹ in 68 'Countdown to 2015' countries	82 per 1000 live births (2007)	2% decrease in U5M to 80.3 per 1000 live births	2% decrease in U5M to 78.9 per 1000 live births	2% decrease in U5M to 77.2 per 1000 live births	Outcome level indicators represent the result of the contributions of national governments, major donors for that sector at country level, World Bank and relevant UN agencies as well as relevant global funds. Global economic crisis does not significantly affect progress on achieving the MDGs.	
	Source						
	UNICEF annual data companion, annual country profiles.						
	Proportion of births attended by skilled health personnel in 68 "count down" countries.	57% (2007)	5% increase	5% increase	5% increase		
	Source						
	UNICEF annual data companion, annual country profiles.						
	Survival rate (retention) using a cohort study of girls in primary school	76% (2005/06)	Survival rate for girls increases from 76% to at least 81%	Survival rate for girls increases to at least 85%	Survival rate for girls increases to at least 90%		
	Source						
	UNESCO Institute of Statistics, global data excluding China.						
Proportion of primary school children out of school (disaggregated by gender)	15% (2007)	Decrease from 15% to 12% or less (male from 14% to 11.2% / female from 17% to 13.6%)	Decrease to 9% or less (male 8.4% / female 10.2%)	Decrease to 6% or less (male 5.6% / female 6.8%)			
Source							
Combined global data on enrolment and attendance collected from UIS.							

¹ Under 5 mortality rate is an outcome indicator. Annual rate of reduction 1990 to 2007 = 1.8%, annual rate of reduction required to achieve MDG4 = 9.8%. Assessment will include coverage and trend of output indicators such as: measles immunisation, insecticide treated nets, access to clean water, available in the data companion.

PURPOSE	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions	
To support the implementation of UNICEF's medium term strategic plan.	Reporting against MTSP organisational targets	18 out of 25 indicators JIA (2008). MTSP baseline tbc	25 MTSP target tbc	tbc	Annual report shows sustained progress against six critical organisational targets in the PF	Government and private funding to UNICEF remains at the same level.	
		Source					
		Annual Report					
INPUTS (£)	DFID (£)	Govt (£)	Other (£)	Total (£)	DFID SHARE (%)		
	Up to £45,900,000	0	0	Up to £45,900,000	100		
INPUTS (HR)	DFID (FTEs)						
	1.0 (UNCD + CHASE, PRD)						

MTSP focus area: Young child survival. Result area – support national capacity to achieve MDG 4 (reduce child mortality) and MDG 5 (improve maternal health) through increased coverage of an integrated package of services, improved practice and an enhanced policy environment.

OUTPUT 1 (MTSP)	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
Increased and sustained coverage of high impact preventive and outreach interventions for women, girls and boys.	1.1 The number of countries where 80% or more of children aged 6- 59 months were fully covered with two doses of Vitamin A in the previous 12 months with UNICEF assistance and advocacy (68 priority countdown countries with high mortality.)	32 (2007)	35	40	45	Continued commitment to strategy and resources; no major negative impact on programmes from global economic crisis. Output 1 indicator 1.2 – same assumptions as above plus no negative impact on programmes from climate-related emergencies. Annual data estimates based on ITNs distributed to be validated through household surveys (MICS, DHS etc) once in 3 years)
	Source		UNICEF annual data companion, annual country profiles, DHS MICS			
	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	
	1.2 Percentage of children 0-59 months sleeping under an insecticide treated net the previous night, in 68 countries with UNICEF assistance (malaria endemic countries).	12% (2007)	20%	25%	30%	
Source		UNICEF annual data companion, annual country profiles DHS, MICS				
	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	
IMPACT WEIGHTING	1.3 No of countries that have included in their medium term expenditure framework quantified targets for scaling up high impact health and nutrition interventions	30 (2008)	40	52	65	
20%		Source				RISK RATING
		UNICEF annual data companion.				Medium

MTSP result area – In declared emergencies, every child is covered with lifesaving interventions (as per UNICEF core commitments for children in emergencies (ccc))

OUTPUT 2 (JIA-UNICEF)	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
Demonstrated, consistent, reliable, timely and effective responses in humanitarian situations.	2.1 UNICEF - Cluster coordinator positions at country level for WASH, Nutrition, Education and Child Protection are filled. ²	No baseline available	70% of cluster coordinator positions at country level for WASH, Nutrition, Education and Child Protection filled within 30 days.	80% of cluster co-ordinator posts are filled within 30 days.	90% of cluster co-ordinator posts are filled within 30 days.	
			Bonus Target			
			Source			
	UNICEF reports, triangulated against our own assessments. IASC phase 2 evaluation of the cluster.					
	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	
	2.2 UNICEF - WASH, Nutrition, Education and Child Protection Clusters provide the necessary coordinated inputs for the sectoral response plans within agreed timeframe. ³	No baseline available	70% of clusters provide coordinated inputs	85% of clusters provide coordinated inputs	100% of clusters provide coordinated inputs	
			Source			
	UNICEF reports triangulated against our own assessments. IASC phase 2 evaluations. OCHA reports.					
	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	
2.3 UNICEF - WASH, Nutrition, Education and Child protection Clusters	No baseline available	50% of clusters provide coordinated inputs	75% of clusters provide coordinated inputs	100% of clusters provide coordinated inputs on early		

² Activation of the clusters implies activation as per the IASC standards. In all instances of the surge mechanisms currently practiced by UNICEF, can be employed as appropriate.

³ Providing the necessary inputs by the cluster lead would infer that at a minimum the cluster has been established, an assessment of some form or another has taken place, project submissions have been prepared by/with the partners and outline priorities have been developed and minimum standards agreed. (Caveat: subject to the relevant cluster being activated.)

	provide the necessary coordinated inputs for a coherent early recovery response within agreed time. ⁴		on early recovery.	on early recovery.	recovery.	
IMPACT WEIGHTING		Source				RISK RATING
20%		UNICEF reports, triangulated against our own assessments. Reports from International bodies.				Medium

⁴ Of the formal activation of each of the respective cluster. (Caveat: exceptions may be made for reasons beyond UNICEF's control eg non-issuances of visas, security/access etc

Focus area – Basic Education and Gender equality. Result area – Support national capacity to reduce gender and other disparities in relation to increased access to and completion of quality basic education.

OUTPUT 3	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
Robust follow-up of the Gender Equality evaluation with clear demonstration of management support	3.1 Gender action plan developed and implemented.	None	Gender Policy and 1 – year action plan developed.	tbc	tbc.	
			Bonus Target			
IMPACT WEIGHTING		Source				RISK RATING
10%		Executive board documents				Low

Focus area – Basic Education and Gender equality. Result area – Support national capacity to reduce gender and other disparities in relation to increased access to and completion of quality basic education.

OUTPUT 4	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
Increase proportion of grade 1 cohorts (especially girls) who reach at least grade 5 to 90% over the 4 years period.	4.1 The number of developing countries that have reduced or abolished school fees for primary education (2007 onwards) with UNICEF advocacy / support.	Engagement of the school fee abolition initiative in 23 countries (2008)	tbc after a detailed questionnaire.	tbc	tbc	Increasing commitment to national policies on abolition of school fees; continued effective international advocacy jointly with World Bank and others.
IMPACT WEIGHTING		Source				RISK RATING
10%		Executive board documents				Medium.

Focus area: HIV/AIDS. Results area – Reduce the number of paediatric HIV infections; increase the proportion of HIV positive women receiving antiretroviral; increase the proportion of children receiving treatment for HIV/AIDS

OUTPUT. 5 (DFID-UNICEF)	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
Increase coverage, quality and coordination of the global response for children affected by HIV/AIDS	5.1 Number of countries that have put programmes in place to ensure they are on track to reach the PMTCT ⁵ coverage target of 80% by 2010 with generalised epidemic (54 countries with generalised HIV epidemic)	17 countries (2007)	23 countries on track to reach PMTCT coverage of 80% by 2010	31 countries on track to reach PMTCT coverage of 80 % by 2010	New international target will be set.	Continued commitment to national policies and resources from international system; no major negative impact on programmes from global economic crisis.
		Source				
	Universal Access Report, Children and AIDS Stocktaking Report, UNGASS Report 2010					
	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	
5.2 Birth registration in developing countries (excluding China), with gender disaggregation if possible..	50% (2008)	tbc	tbc	tbc		
	Source					
IMPACT WEIGHTING	Results of Multi Indicator Cluster Surveys (MICS).					RISK RATING
10%						High

⁵ PMTCT Prevention of Mother to Child Transmission

Focus area – Organisational Reform. Result area – Improved efficiency, effectiveness and harmonisation and alignment with other UN agencies.

OUTPUT 6 (JIA)	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions		
UNICEF actively participate in UN Reform, harmonising and aligning with UN partners.	6.1 UNICEF actively contributing to system wide coherence through implementation of Firewall agreement, DAO and IHP	Firewall implementation plan agreed	Demonstrated commitment to implement the 'Firewall agreement' including: a) Job descriptions of Country Representatives revised to explicitly recognise the leadership role of the RC of the UN Country Team, and b) RCs formally contribute to Country Representatives' annual performance assessment on their contribution to the UNCT. ⁶	Independent evaluation or other assessment of DAO pilots show firewall and RC authority operational.	100% of all UNICEF funding in DAO countries reflected on One Programme document (exception accepted on case by case basis)			
		Bonus Target						
		Source						
		Quarterly reports to the undg on implementation of the Implementation Plan of the Management and Accountability Framework and Functional Firewall. We may request additional reporting from UNICEF if quarterly reports do not sufficiently disaggregate agency progress on a) Country Representative job descriptions – including on 'access to Agencies technical resources b) Country Representative annual performance assessment.						
		Baseline + year	Target 2009	Target 2010	Target 2011			
None	UN health programme with budget aligned with countries' own health	UNICEF will present a Partnership	To be determined after Executive Board decision					

⁶ In accordance with the Implementation Plan of the Management and Accountability System paper. Representatives' job description will be modified to recognize the role of the RC in strategically positioning the UN at country level and the RC should be supported, as required with access to Agencies technical resources as agreed with the Agencies Representatives balancing available resources with the tasks to be performed.

			strategies in 2 countries (IHP countries). ⁷	Framework to the Executive Board in 2009. Targets for 2010 can be determined once this has been approved by the board.	on Partnership framework proposed in 2009.	
IMPACT WEIGHTING		Independent monitoring report of IHP .				
15%						Medium

⁷ Wording taken from joint IHP communiqué. UNICEF commit to continuing to work towards delivering in a more coordinated way at the country level. Building on their strengths and with a particular focus on IHP+ countries they will move towards a consolidated UN country presence, ideally with one UN health programme, with budgets aligned with countries' own health strategies, as well as an enhanced role of the UN resident coordinator

OUTPUT 7 (JIA)	Indicator	Baseline + year	Target 2009	Target 2010	Target 2011	Assumptions
UNICEF becomes a more effective and efficient organisation	7.1 A single integrated enterprise resource planning system (One ERP) is operational in all UNICEF locations (resulting in improved transparency of all transactions, real time information and streamlined business processes, efficiency savings and improved performance management reporting).	None (2008)	A full review of all business processes for each functional area (programme, finance, supply, HR) will be completed and the resulting streamlined processes will be put into SAP (the one ERP system).		One ERP system will be functioning across all UNICEF locations.	Recruitment will depend on full implementation of E recruitment. E recruitment is now being rolled out in a phased manner due the financial downturn and its potential impact on UNICEF's funding and investments in to the E system.
IMPACT WEIGHTING	Indicator	Baseline	Target 2009	Target 2010	Target 2011	RISK RATING
15%	7.2 Proportion of recruitment actions completed within 90 days for established IP posts. ⁸	24% (2008)		Increase to 58%	Increase to 75%	Medium.
		Source Annual report, KPI indicator.				

⁸ Recruitment: A new recruitment system is being implemented. At the next review we should reassess the targets and see if we can make them more challenging.

E. Acronyms and Abbreviations

CEDAW	Convention on the Elimination of all forms of Discrimination Against Women
CHASE	Conflict Humanitarian and Security Department
CRC	Convention of the Rights of the Child
DAO	Delivering As One
DFID	Department for International Development
DHS	Demographic and Health Surveys
EMOPS	Emergency Operations Division
ERP	Enterprise Resource Planning
IASC	Inter-Agency Standing Committee
IHP	International Health Partnership
IS	Institutional Strategy
ITNs	Insecticide Treated Nets
JIA	Joint Institutional Approach
KPI	Key Performance Indicators
MDGs	Millennium Goals
MICS	Multi Indicator Cluster Surveys
MTSP	Medium Term Strategic Plan
NGO	Non-Governmental Organisation
OCHA	Office for the Coordination of Humanitarian Affairs
PF	Performance Framework
PMTCT	Prevention of Mother to Child Transmission
PRD	Policy and Research Department
RC	Resident Coordinator
SAP	Systems, Applications and Products
UN	United Nation
UNCD	United Nations and Commonwealth Department
UNCT	United Nations Country Team
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNGASS	United Nations General Assembly Special Session
UNICEF	United Nations Children Fund
WASH	Water and Sanitation