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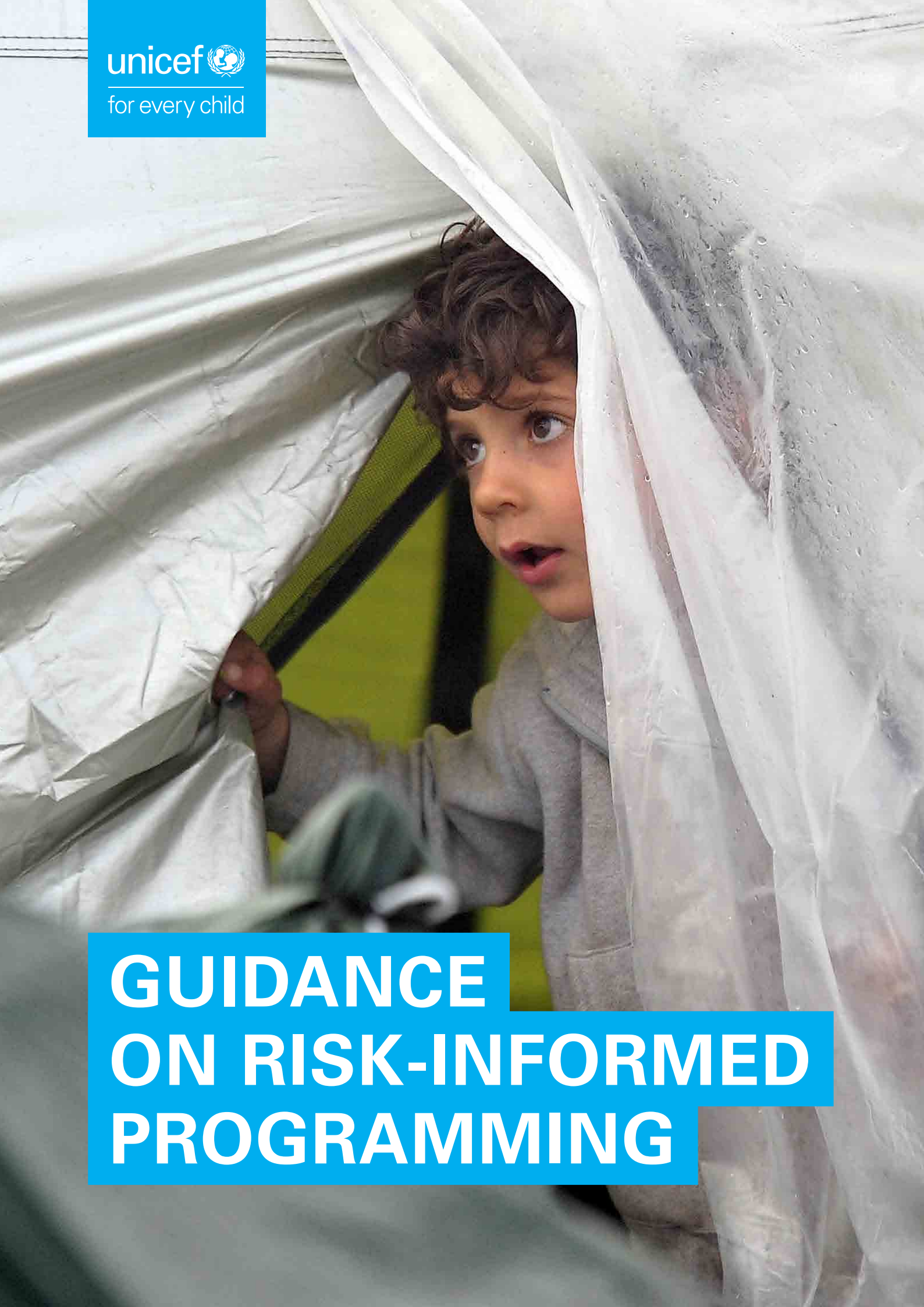

GUIDANCE ON RISK-INFORMED PROGRAMMING

Please contact:
Programme Division, Humanitarian Support and Transition Support (HATIS), UNICEF
3 United Nations Plaza, New York, NY 10017, USA

Note on maps: All maps included in this publication are stylized and not to scale. They do not reflect a position by UNICEF on the legal status of any country or area or the delimitation of any frontiers. The dotted line represents approximately the Line of Control agreed upon by India and Pakistan. The final status of Jammu and Kashmir has not yet been agreed upon by the Parties. The final boundary between the Republic of the Sudan and the Republic of South Sudan has not yet been determined. The final status of the Abyei area has not yet been determined.

This guidance, and additional resources are available to UNICEF staff and consultants through the Risk and Resilience, Fragility and Peacebuilding team site: https://unicef.sharepoint.com/teams/Communities/RiskResilience- FragilityPeacebuilding/sitePages/Home2.aspx.

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UNICEF Guidance on Risk-Informed Programming

How to integrate an analysis of risk into child rights-focused planning and programming

The guidance has been elaborated with technical and financial support from the US Fund for UNICEF, Prudential Foundation, Margaret A. Cargill Philanthropies, the United Kingdom Government Department for International Development (DFID) and the Swiss Agency for Development and Cooperation (SDC).

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Federal Department of Home Affairs FDHA
Federal Food Safety and Veterinary Office FSVO

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PROJECT MANAGERS:
Hamish Young
Christian Salazar

LEAD TECHNICAL ADVISORS:
Antony Spalton
Sharif Baaser
Stephanie Kleschnitzki

MANAGING EDITORS:
Stephanie Kleschnitzki
Sarah Karmin
Shannon Strother
Lisa Kleinhenz
Jane Chun

PROGRAMME CONTRIBUTIONS (in alphabetical order):
Antony Spalton, Carlos Navarro Colorado, Cecilia Sanchez Bodas, Claudia Vivas, Dolores Rio, Emily Bamford, Friedrich Affolter, Hamish Young, Heather Papowitz, Hellen Nyangoya, Henrik Hartmann, John Lewis, Jose Gesti Canuto, Kate Alley, Lisa Bender, Luc Chauvin, Maha Muna, Marija Adrianna de Wijn, Maureen L. Gallagher, Michele Messina, Miriam Abu Hamdan, Naureen Naqvi, Nupur Kukrety, Overtoun Mgemezulu, Patty Alleman, Rekha Shrethsa, Sharif Baser, Stephanie Kleschnitzki, Sarah Karmin, Tasha Gill.

GRIP ADVISORY GROUP (in alphabetical order):
Yasmin Haque – Chair
Anna Knutzen, Alban Nouvellon, Alex Heikens, Alexandra Yuster, Asim Rehman, Brenda Haiplik, Cecilia Sanchez Bodas, Carmen van Heese, Etona Ekole, Gilles Chevalier, Hanoch Barlevi, Noel Marie Zagre, Pressia Arifin-Cabo, Soledad Herrero, Vidhya Ganesh, Yasmin Haque

PILOT COUNTRY OFFICES:
Bosnia and Herzegovina Country Office
Malawi Country Office
India Country Office

DESIGN AND INFOGRAPHICS:
Aurélie Portier

[1] For more information about the UNICEF, US Fund and The Prudential Foundation partnership, please see: https://www.unicefusa.org/stories/unicef-prudential-working-together-reduce-risk-disaster/32156

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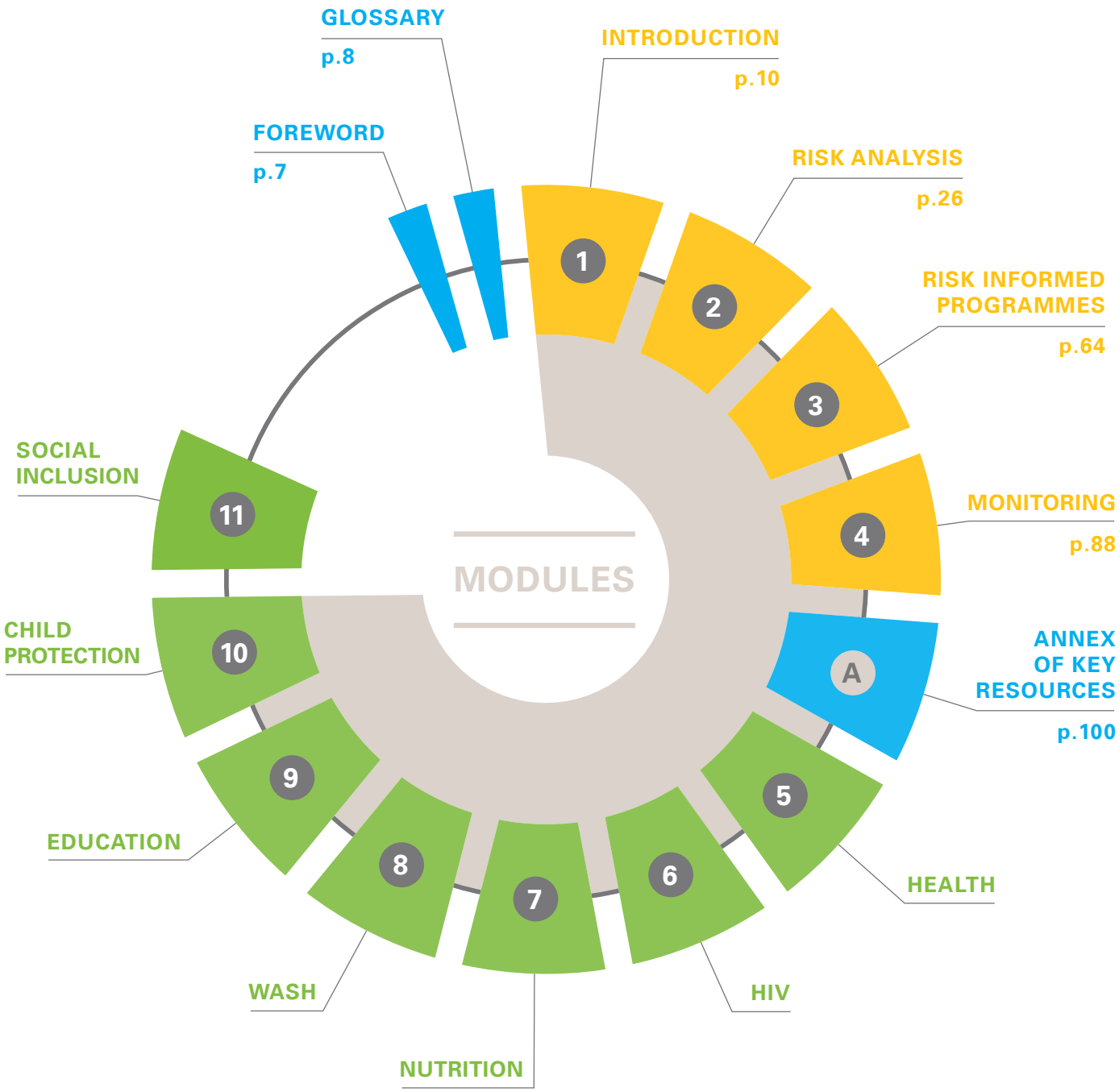
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“Across the world, crises are becoming more frequent and complex, and are lasting longer and affecting more children than ever before.”

FOREWORD

GLOSSARY OF KEY TERMS

Capacity: The combined strengths, attributes and resources available within a community, organization or society. Capacity may include infrastructure, institutions, human knowledge and skills, and collective attributes such as social relationships, leadership and management. (UNISDR)

Deprivation: Defined as the non-fulfilment of children's rights in the main dimensions of survival, development, protection and participation. (UNICEF)

Disaster: A serious disruption to the functioning of a community or a society involving widespread human, material, economic and/or environmental losses and impacts, which exceeds the ability of the affected community or society to cope using its own resources. (UNISDR)

Emergency: Sometimes used interchangeably with the term disaster, but can also relate to hazardous events and ''situations that do not result in serious disruption to the functioning of a community or society.

Exposure: The presence of people, property, livelihoods, systems or other elements in areas that can be affected by various shocks and stresses.

Gender: Gender is a social and cultural construct, which distinguishes differences in the attributes of women and men, and girls and boys, and accordingly refers to the roles and responsibilities of women and men. Gender-based roles and other attributes thus change over time and vary across cultural contexts. The concept of gender includes the expectations held about the characteristics, aptitudes and likely behaviours of both women and men (femininity and masculinity). This concept is also useful in analysing how commonly shared practices and norms legitimize discrepancies between sexes. It also informs the discussion of gender-based vulnerabilities and capacities, which is necessary for risk analysis within communities.

Hazard: A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption and/or environmental damage.

Impact: The consequences or effect of an event or situation. GRIP defines impact as the total effect, including negative and positive effects, of a hazardous event or crisis. The term extends to human, economic and environmental impacts, and may include death, injury, disease and other negative effects on human physical, mental and social well-being.

Likelihood: The state of being likely or probable. In GRIP, likelihood specifically refers to the probability of a shock (or the 'tipping point' of a stress) occurring in a given time frame.

Mitigation: For environmental scientists, mitigation refers to the reduction of the greenhouse gas emissions that are the one of the sources of climate change. In GRIP, mitigation refers to the lessening or limitation of the adverse impacts of shocks and stresses. (UNISDR)

Preparedness: The knowledge and capacities developed by governments, professional response and recovery organizations, communities and individuals to effectively anticipate, respond to and recover from the impacts of likely, imminent or current hazard events or conditions. (UNISDR)

For UNICEF, this means ensuring that appropriate mechanisms and systems are put in place in advance to enable an effective and timely emergency response to humanitarian crisis. Such planning is based on a strong risk analysis that takes into account national and regional capacities and the comparative advantages of UNICEF in risk reduction.

Prevention: The outright avoidance of the adverse impacts of hazards and related disasters.

Shock: A sudden and potentially damaging hazard or other phenomenon. A shock can also refer to the moment at which a slow-onset process (a stress) passes its 'tipping point' and becomes an extreme event.

Social cohesion: The quality of the bonds and dynamics that exist between the groups within a society. Groups can be distinguished in terms of regional, ethnic or sociocultural identity, religious or political belief, social class or socio-economic status, or on the basis of characteristics such as gender and age. The strengthening of social cohesion vertically (i.e., relations between the state and citizens) and horizontally (i.e., intra- and inter-group relations) is one of the key outcomes of effective peacebuilding interventions.

Stress: Similar to a shock, a stress is a longer-term trend that undermines the potential of a given system and increases the vulnerability of actors within it.

System: A unit of society (e.g., individual, household, group of people with common characteristics, community, nation), a unit of ecology (e.g., a forest) or a physical entity (e.g., an urban infrastructure network). (OECD)

Recovery: The restoration, and improvement where appropriate, of the facilities, livelihoods and living conditions of disaster-affected communities, including efforts to reduce disaster risk factors.

Resilience: The ability of a system, community or society exposed to hazards to resist, absorb, adapt to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential structures and functions.

Resilient development: Resilient development means providing children and families with what they need to better prepare for and manage crises, and recover from them more rapidly. (UNICEF)

Response: Emergency services and public assistance provided during or immediately after a disaster to save lives, reduce health impacts, ensure public safety and meet the basic subsistence needs of the people affected. (IASC)

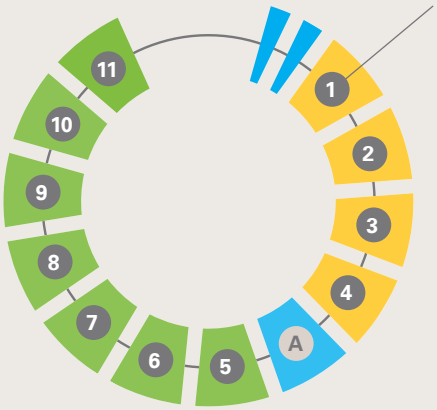
Risk: UNISDR defines risk as: "The potential loss of life, injury, or destroyed or damaged assets which could occur to a system, society or a community in a specific period of time, determined probabilistically as a function of hazard, exposure, vulnerability and capacity". GRIP defines risk as: the likelihood of shocks or stresses leading to the erosion of development progress, the deepening of deprivation and/or humanitarian crisis affecting children or vulnerable households and groups.

Vulnerability: This is defined as the characteristics and circumstances of individual children, households or communities that make them particularly susceptible to the damaging effects of a shock or stress. (Adapted by UNICEF)

MODULE 1

INTRODUCTION

MODULE 1: INTRODUCTION



CONTENTS FOR MODULE 1

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1. INTRODUCTION

1.1 A CHANGING WORLD FOR CHILDREN, A SHIFT IN GLOBAL COMMITMENTS

Across the world, crises are becoming more frequent and complex, and are lasting longer and affecting more children than ever before. More than three times as many people today require international humanitarian assistance as compared to a decade ago – some 91 million persons are in need of assistance in 2018,[1] up from 25 million people in 2008[2] – and all signs suggest that the scale of needs will only continue to grow. In 2015, some 43 per cent of the world's population was estimated to live in a 'fragile situation'.[3] By 2030, this proportion is expected to rise to 62 per cent.[4] Protracted and intractable conflicts have also become even more drawn out – rising in average duration from 19 years (as measured in 1990) to 37 years (as measured in 2013)[5]12 – thus prolonging human suffering, economic losses and the large-scale displacement of persons. Meanwhile, climate change – one of the greatest challenges of our time – threatens to not only erode livelihoods, habitation patterns and development progress, but also to provoke further crises through extreme weather and changing disease patterns. Rapid urbanization, environmental degradation, natural resource depletion, pollution and rising inequity (within and among countries) work in concert to accelerate and exacerbate the impacts of these changes. It is now better understood that crisis affects women and men, and girls and boys differently, and the imperative to address specific vulnerabilities and aspects of resilience is clear.

As crises have grown in number and scale, the limitations of current political, development and humanitarian approaches have become clearer. With less than 0.4 per cent of all official development assistance spent on preparedness for disasters and more than 80 per cent of all humanitarian aid driven by the needs of people affected by conflict, an urgent call has been made to shift the focus from response to prevention.[6] Across the international community, nations and stakeholders are considering what could be achieved and protected if global investments were directed towards reducing risks, maintaining and fostering peace, and averting crisis before it manifests.

[1] United Nations Office for the Coordination of Humanitarian Affairs, 'Global Humanitarian Appeal Hits Record $22.5 Billion, Aiming to Reach 91 Million People with Assistance in 2018', ReliefWeb, Geneva, 1 December 2017, <https://reliefweb.int/report/world/global-humanitarian-appeal-hits-record-225-billion-aiming-reach-91-million-people>, accessed 15 February 2018.
[2] United Nations, 'Secretary-General, launching 2008 Consolidated Appeal, invokes shared humanity in urging donors to ensure survival of world's "bottom billion"', Statement, SG/SM/11383-IHA/1258, 23 January 2008, available at <www.un.org/press/en/2008/sgsm11383.doc.htm>, accessed 6 March 2018.
[3] Although there is no universally accepted definition of fragility, UNICEF suggests that it is generally considered to refer to contexts with the following three elements: 1) Weak capacity of the state to carry out basic governance functions; 2) Weak national capacity to prevent or adapt and respond to shocks and stresses; and 3) Lack of ability or willingness of the state to develop mutually constructive relations with people. See: United Nations Children's Fund, UNICEF Programme Framework for Fragile Contexts, October 2017, available at <https://unicef.sharepoint.com/teams/Communities/RiskResilienceFragilityPeacebuilding/Documents/Programme Framework for Fragile Contexts - UNICEF Oct 2017.pdf> accessed, 6 March 2018
[4] United Nations, *One Humanity, Shared Responsibility*, Report of the United Nations Secretary-General for the World Humanitarian Summit, United Nations, 2016, available at <http://sgreport.worldhumanitariansummit.org>, accessed 15 February 2018.
[12] Overseas Development Institute, *Time to let go: Remaking humanitarian action for the modern era*, ODI, London, April 2016, available at <www.odi.org/sites/odi.org.uk/files/resource-documents/10422.pdf>, accessed 20 February 2018.
[6] *One Humanity, Shared Responsibility.*

535 **MILLION** children – nearly a quarter of the world's children – were estimated to live in countries affected by armed conflict, violence, disaster and/or chronic crisis in 2017.[7]

50 **MILLION** children were deemed "uprooted" in 2016, having either migrated across borders or been forcibly displaced by conflict, climate change or poverty.[8]

800 **MILLION** people were living in low-income, informal settlements in 2014, residing on land exposed to hazards and without adequate protective infrastructure, decent housing or access to basic services.[9]

385 **MILLION** children were living in extremely poor households in 2013, meaning that they had limited capacity to cope with the impacts of shocks and stresses.[10]

136 **MILLION** people across the world are in need of humanitarian aid and protection. The global humanitarian appeal for 2018 is set at a record US$22.5 billion, to cover 91 million persons.[11]

Total economic losses worldwide associated with natural disasters average between **US$250 MILLION** and **US$300 MILLION** per year. In future, annual losses are expected to reach **US$314 BILLION** in the built environment alone.[12]

Between 1980 and 2012, more than **42 MILLION** human life years were lost to internationally reported disasters, representing an enormous setback to economic development and social progress. More than **80%** of this loss was experienced in low- and middle-income countries.[13]

While the multiple frameworks of the 2030 Agenda for Sustainable Development[14] build upon the Millennium Development Goals, the Hyogo Framework for Action[15] and other global efforts, their more holistic and integrated approach recognizes the mutually reinforcing nature of economic, social and environmental objectives in fostering peaceful and inclusive societies. For example:

- The Sustainable Development Goals (SDGs) outcome document *Transforming our World: The 2030 Agenda for Sustainable Development* recognizes the impacts of various hazards, including earthquakes, violent conflict, disease outbreaks, climate change and extreme weather.[16] The SDGs also focus more directly on reaching those furthest behind first – recognizing that girls and boys, women, individuals with disabilities, and the most impoverished are disproportionately vulnerable to, and affected by, the impacts of crisis.
- The Sendai Framework for Disaster Risk Reduction 2015–2030 addresses the prevention of new crises and the reduction of disaster risk related to various shocks and stresses, with a focus on human vulnerability. It advocates for the integration of "a gender, age, disability and cultural perspective in all policies and practices" and the promotion of women and youth leadership, recognizing previously untapped strengths and resilience in society.[17]

[7] The figures have been calculated using population data for countries where UNICEF has a humanitarian appeal. See: United Nations Children's Fund, 'Nearly a quarter of the world's children live in conflict or disaster-stricken countries: UNICEF', Press release, UNICEF, December 2016, <www.unicef.org/media/media_93863.html>, accessed 15 February 2018.
[8] United Nations Children's Fund, Uprooted: The growing crisis for refugee and migrant children, UNICEF, New York, September 2016, available at <www.unicef.org/publications/index_92710.html>, accessed 15 February 2018.
[9] *One Humanity, Shared Responsibility.*
[10] This is an estimate based on 89 countries, representing just over 84 per cent of the developing world's population. See: United Nations Children's Fund and World Bank Group, 'Ending Extreme Poverty: A focus on children', Briefing note, UNICEF, October 2016, available at <https://data.unicef.org/wp-content/uploads/2017/09/Ending_Extreme_Poverty_A_Focus_on_Children_Oct_2016.pdf>, accessed 6 March 2018.
[11] 'Global Humanitarian Appeal Hits Record $22.5 Billion'.
[12] United Nations Office for Disaster Risk Reduction, *Global Assessment Report on Disaster Risk Reduction 2015: Full report*, UNISDR, 2015, available at <www.preventionweb.net/english/hyogo/gar/2015/en/gar-pdf/GAR2015_EN.pdf>, accessed 6 March 2018.
[13] The concept of human life years is introduced by the *Global Assessment Report on Disaster Risk Reduction 2015* as an alternative representation of disaster impact, as it provides a metric that describes the time required to produce economic development and social progress – time that is lost in disasters. Loss of human life years, whether through disease or disaster, is thus a way to measure setbacks to development that goes beyond conventional metrics such as mortality and economic loss. See: United Nations Office for Disaster Risk Reduction, *Global Assessment Report on Disaster Risk Reduction 2015: GAR at a Glance*, UNISDR, 2015, available at <www.preventionweb.net/english/hyogo/gar/2015/en/gar-pdf/GAR15_at_a_glance_EN.pdf>, accessed 15 February 2018.
[14] United Nations Sustainable Development Knowledge Platform, 'Outcomes and frameworks', Division for Sustainable Development, United Nations Department of Economics and Social Affairs, New York, <https://sustainabledevelopment.un.org/frameworks>, accessed 16 February 2018.
[15] United Nations Office for Disaster Risk Reduction, 'Hyogo Framework for Action (HFA)', UNISDR, Geneva, <www.unisdr.org/we/coordinate/hfa>, accessed 16 February 2018.
[16] United Nations, *Transforming our World: The 2030 Agenda for Sustainable Development*, United Nations, 2015, available at <https://sustainabledevelopment.un.org/post2015/transformingourworld/publication>, accessed 16 February 2018.
[17] United Nations Office for Disaster Risk Reduction, 'Sendai Framework for Disaster Risk Reduction 2015–2030', UNISDR, Geneva, <www.unisdr.org/we/inform/publications/43291>, accessed 6 March 2018.

- The Paris Agreement, which links both mitigation and adaptation goals in the global climate effort, also seeks to further understanding of and action and support for risk reduction, by promoting comprehensive risk assessments and more coherent management of multiple threats.[18]
- The World Humanitarian Summit 2016 galvanized commitments towards a "new way of working", as first discussed in the Agenda for Humanity[19] and further embedded in the *Commitments to Action*.[20] In promoting its 5 core responsibilities and 24 'key transformations' or changes in direction, the Agenda for Humanity demands that the success of international interventions is measured by the year-on-year reduction in human vulnerability and risk – not the proportion of acute and urgent needs met.

Adding to the momentum, the United Nations Secretary-General has called on the United Nations to uphold its strategic commitment to a 'culture of prevention'. In his vision statement, shared with all Member States in May 2017,[21] António Guterres recognized how the distinctions between different types of crisis have eroded, with natural phenomena, violent conflict and other man-made or social shocks and stresses working together to compound vulnerability, inequity and social exclusion. Reinforcing the intergovernmental agreements for sustaining peace,[22] he signalled a strong organizational shift from response to helping countries make a concerted effort to avert the outbreak of crisis in the first place. To succeed, this approach must further strengthen the nexuses between peace and security, and between sustainable development and human rights policies.

BOX 1 - A BUSINESS CASE FOR CONFLICT PREVENTION AND DISASTER RISK REDUCTION

Violent conflict **adversely affects a country's** economic progress. Resources spent fighting wars **can stifle economic growth and diminish allocations to** social services. Managing the negative effects of a crisis through humanitarian assistance and peacekeeping is **also costly for the international community**. In the Pathways for Peace study[23], the United Nations and World Bank produced a business case to show that conflict prevention, besides saving millions of lives, is also economically beneficial. The analysis showed that even in the most pessimistic scenario of the analysis, where preventive action is rarely successful, preventing the outbreak of violence would create net savings close to US$5 billion per year. In the most optimistic scenario, the net savings are almost US$70 billion per year.

Economics of Resilience to Drought, a study commissioned by the United States Agency for International Development (USAID), assessed the cost savings that could have resulted from an earlier and more proactive response to drought in Ethiopia, Kenya and Somalia.[24] The study reveals the following:

- **Donors could have saved 30 per cent** on humanitarian aid spending through earlier and more pro active responses (equivalent to savings of US$1.6 billion when applied to US Government spending in the three countries over the last 15 years).
- **Countries and donors together could have saved up to US$4.2 billion** in the three countries over the last 15 years, through early responses and also the expansion of programmes to protect the income and assets of individuals.
- **Every US$1 invested in building drought resilience could result in up to US$3 saved** in reduced humanitarian aid and avoided losses.

1.2 IMPLICATIONS FOR CHILD RIGHTS PROGRAMMING

UNICEF recognizes that these changes in the global risk landscape and shifts in international commitments have implications for child rights programming:

[18] United Nations Framework Convention on Climate Change, Adoption of the Paris Agreement, FCCC/CP/2015/L.9, Paris, 12 December 2015, available at <http://unfccc.int/resource/docs/2015/cop21/eng/l09.pdf>, accessed 15 February 2018.
[19] Agenda for Humanity, 'Agenda for Humanity', United Nations Office for the Coordination of Humanitarian Affairs, 2016, <www.agendaforhumanity.org/>, accessed 16 February 2018.
[20] World Humanitarian Summit, *Commitments to Action*, September 2016, available at <https://interagencystandingcommittee.org/system/files/whs_commitment_to_action_8september2016.pdf>, accessed 16 February 2018.
[21] António Guterres, Secretary-General of the United Nations, 'Vision statement: Challenges and Opportunities for the United Nations', República Portuguesa, May 2017, <www.antonioguterres.gov.pt/vision-statement/>, accessed 6 March 2018.
[22] United Nations General Assembly, Resolution adopted by the General Assembly on 27 April 2016, Review of the United Nations peacebuilding architecture, A/RES/70/262, 12 May 2016, available at <www.un.org/en/development/desa/population/migration/generalassembly/docs/globalcompact/A_RES_70_262.pdf>, accessed 16 February 2018.
[23] United Nations; World Bank. 2018. Pathways for Peace : Inclusive Approaches to Preventing Violent Conflict. Washington, DC: World Bank. © World Bank. https://openknowledge.worldbank.org/handle/10986/28337 License: CC BY 3.0 IGO.
[24] United States Agency for International Development, *Economics of Resilience to Drought*, USAID, January 2018, available at <www.usaid.gov/resilience/economics-resilience-drought>, accessed 16 February 2018.

- **Children bear the brunt of these crises**. Although positive gains have been made in the last decades in the realization of children's rights,[25] violent conflict, political instability, forced displacement, disasters, climate change and unprecedented public health emergencies have also eroded some of these positive gains and put at risk the futures of millions of children. Children are being deprived of their childhoods and the potential to be active and engaged citizens in their communities due to the impacts of crisis – whether these manifest as illness, malnutrition, exploitation and/or limited or no access to education.

- **Advancing equity means reducing risk for children**. Global commitments to Leaving No One Behind recognize that exposure to shocks and stresses is one of the five key determinants of inequity.[26] Crisis not only **compounds** existing poverty, deprivations and social exclusion, but also **leads to these impacts** by eroding existing progress and stripping households and communities of assets and coping mechanisms. In keeping with its 'equity approach', UNICEF must therefore place a strong focus on targeting households and communities that are both economically deprived or socially marginalized and also disproportionately exposed to various shocks and stresses. This is also in line with the Agenda for Humanity's core responsibilities, including the commitment to "Invest according to risk".[27]

- **People-centric, vulnerability-focused and multi-hazard risk analysis is critical**. Most national risk assessments focus on the impacts of hazards on infrastructure and productive sectors. UNICEF has an important role to play in promoting a more people-centric, gender-responsive and child-sensitive approach to defining vulnerability and resilience. UNICEF has contributed greatly to advancing the measurement of multidimensional child poverty and deprivation. When combined with data on the exposure of children and households to various shocks and stresses, such evidence can deepen the risk analysis and help to shift the focus of investments towards the most vulnerable households and communities (see **Box 2**).

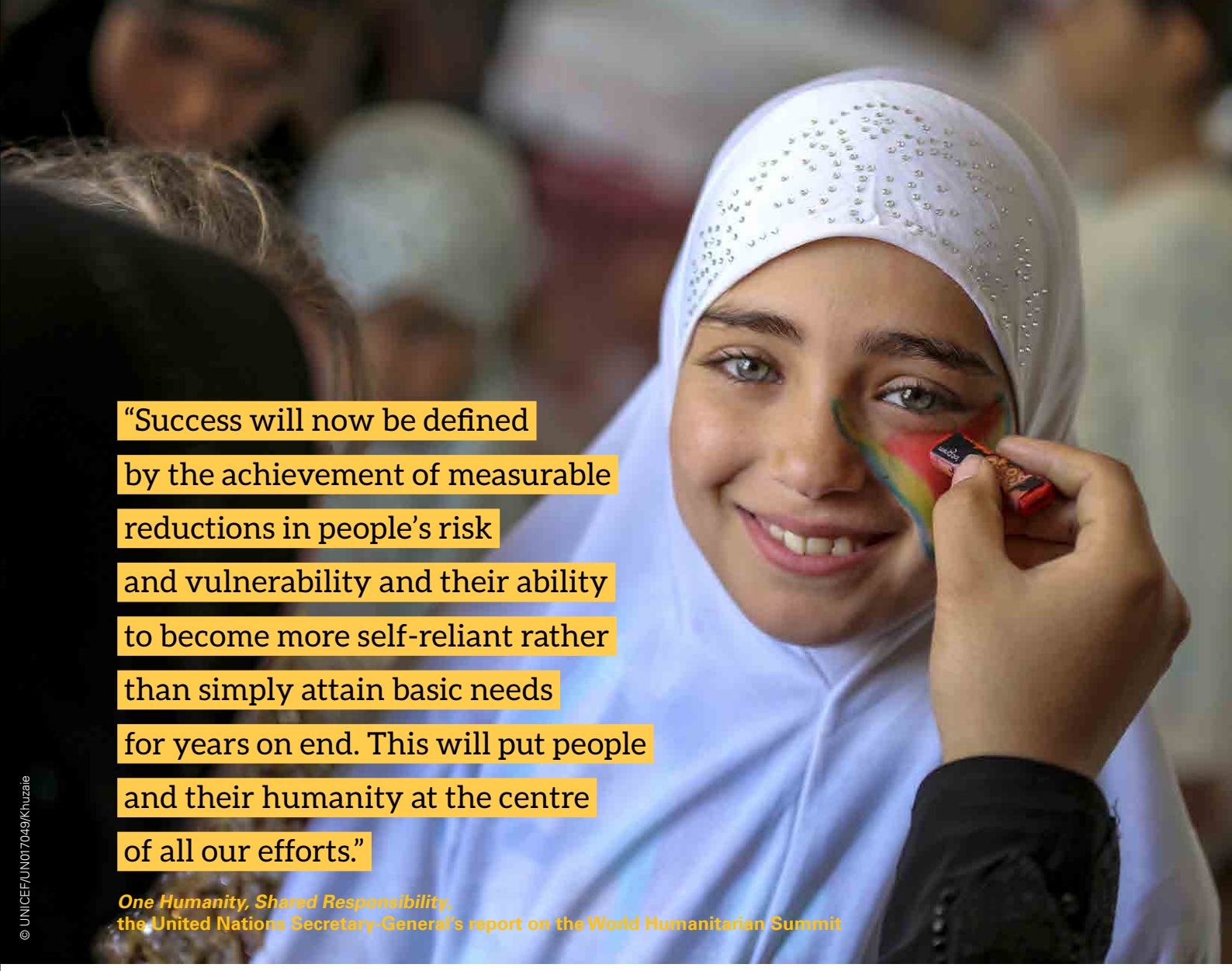
- **Prioritization of prevention and 'early wins'**. Despite the overwhelming evidence that risk reduction and preparedness is more cost-effective than response, less than 0.4 per cent of all overseas development assistance is allocated to prevention.[28] To properly deal with risks, states, donors, development actors and communities must collaborate more closely and at an earlier stage to identify the full range of risks and prioritize development-oriented actions to reduce them. For UNICEF, this means supporting early wins such as making critical infrastructure and systems for children more shock-responsive and resilient.

- **The measure of success should be the reduction of vulnerability rather than need**. The success of humanitarian responses has traditionally been measured in terms of the reduction of acute and urgent needs, but the need to support and measure the ability of communities to mitigate the impacts of additional shocks and stresses is increasingly recognized. This means reinforcing national systems, planning over multi-year time frames, and building capacities at various levels to reduce risk. It also means measuring success in terms of vulnerability reduction, and since the negative effects of shocks and stresses are often first seen in children, tracking their status is critical to forecasting vulnerabilities in larger population groups.

- **Programming must be conflict-sensitive and promote social cohesion and peacebuilding**. Crises cause death, displacement, and the destruction of infrastructure critical for child survival and development, and may also tear the social fabric and undermine the institutions and capacities necessary to promote equity, gender equality and peace. All child rights programming, in both development and humanitarian dimensions, should be increasingly conflict-sensitive and promote social inclusion and cohesion, while recognizing the existing power and wealth dynamics in the political economy. All programmes should adhere to the Do No Harm principles, by giving due consideration to how the effects of gender inequalities and the socio-economic disadvantages of women, adolescents and girls contribute to and deepen vulnerabilities within households and communities.

- **The voices of children, adolescents, youth and women must drive programming efforts**. The current generation of children lives in pivotal times, with pressure on the effectiveness of collective global action at its greatest and the risks of inaction potentially more devastating than ever. UNICEF has a critical responsibility to promote global citizenship, peacebuilding, and climate change and risk reduction education, and to ensure that children's voices are heard in global, national and regional consultative processes. Tapping into formal and informal women's groups set up to support families and communities to further child well-being.

[25] United Nations, *The Millennium Development Goals Report 2014*, United Nations, New York, 2014.
[26] The other four key determinants of inequity are: identity, geography, governance and socio-economic standing. See: Source to be added once you can confirm the updated URL to replace https://unstats.un.org/sdgs/report/2016/leaving-no-one-behind
[27] Agenda for Humanity, 'Invest in Humanity', United Nations Office for the Coordination of Humanitarian Affairs, 2016, <www.agendaforhumanity.org/cr/5>, accessed 16 February 2018.
[28] *One Humanity, Shared Responsibility.*



BOX 2 - A CHILD-CENTRED APPROACH MAKES SENSE FOR EVERYONE

A child-centred approach is relevant not only for UNICEF and its partners, but also for a wide range of stakeholders committed to Leaving No One Behind, for the following reasons:

- **Children's vulnerabilities are good indicators of larger challenges.** The negative effects of shocks and stresses are often first seen in children. Measuring and tracking their health, nutrition, education and protection status can help to forecast vulnerabilities in larger population groups.
- **Children are a significant demographic group with special needs, vulnerabilities and capacities.** As of mid-2017, the global share of children under 18 (2.3 billion) of the total population (7.6 billion) is 30.7%, ranging regionally from 18.9% in Europe to 47.2% in Africa and with 28.8% in Asia[29], evidence shows that they are disproportionately affected by emergencies. Approximately 100 million children and young people around the world are affected by crises every year.[30] If children are not properly considered before a crisis strikes, their needs will pose one of the most significant and pressing burdens afterwards.
- **Children have invaluable contributions to make.** The current generation of children lives in pivotal times, with pressure on the effectiveness of collective global action at its greatest and the risks of inaction potentially more devastating than ever. Children not only have the right to be considered in plans that will affect their lives, but they can also be agents of change in their communities – informing, influencing and participating in decision-making processes.
- **Children have the right to participate**. Conflict, disaster and crisis affect children's basic right to survival and development. Participating in the decisions that affect their lives and those of future generations is more than just useful for children – it is a right.

[29] United Nations, Department of Economic and Social Affairs, Population Division (2017). World Population Prospects: The 2017 Revision, DVD Edition
[30] United Nations General Assembly, Implementation of the International Strategy for Disaster Reduction: Report of the Secretary-General, A/67/335, 27 August 2012, p. 9.

1.3 THE UNICEF COMMITMENT TO RESILIENT DEVELOPMENT

UNICEF was a key player in the development of the 2030 Agenda, and the UNICEF Strategic Plan, 2018–2021[31] has been designed to accelerate implementation of the SDGs, the Sendai Framework and the Paris Agreement as well as realization of the concurrent resolutions on peacebuilding adopted by the United Nations Security Council and General Assembly. At the World Humanitarian Summit, UNICEF declared its "commitment to risk-informed programming that promotes resilient development" and suggested that it is "making risk analysis a core element of its planning processes".[32]

In its *Technical Note on Resilient Development*, UNICEF explains: "Resilient development means providing children and families with what they need to better prepare for and better manage crises, and recover from them more rapidly. It requires addressing the underlying drivers of inequity and fragility that cause environmental, economic and social deprivations and stresses. It means bridging the arbitrary divide between development and humanitarian assistance, integrating risk factors such as climate change into programming, and strengthening systems that can anticipate as well as absorb shocks in the event of disasters."[33]

The Strategic Plan reflects these commitments, outlining the organization's efforts to foster resilient development by addressing climate change, promoting peacebuilding and social cohesion, and extending risk-informed programming, including through investment in national and sub-national risk assessments and preparedness. For the first time, the current Strategic Plan has an output related to risk reduction confirming the organization's commitment to supporting countries to adopt child-sensitive policies, strategies and programmes that address risks associated with disasters, conflict and public health emergencies. The monitoring framework for the Strategic Plan[34] also reflects the organization's commitments to measure and track progress in risk reduction, in line with Sendai Framework monitoring.[35]

The UNICEF Gender Action Plan, 2018–2021 similarly recognizes the important role that UNICEF plays in risk reduction and preparedness as well as in humanitarian response.[36] The differential experiences and skills of women and men, adolescents, and girls and boys are well noted. There is a clear recognition that conflict and emergency situations increase girls' and women's exposure to gender-based violence (GBV) and that preparedness measures must consider both this and menstrual hygiene management to address the heightened vulnerability of girls to negative health outcomes and barriers to educational, social and economic opportunities.

To provide a sense of how national, regional and global progress in advancing risk reduction will be made, the Strategic Plan also outlines a specific 'change strategy' that focuses on enhancing coherence and connectedness between at-scale capacity for humanitarian action and longer-term programming, including through "risk-informed programme design, preparedness, support to common needs assessments and national and local first responders". Under this change strategy, UNICEF will track "the percentage of country offices that meet organizational benchmarks on: (a) preparedness; (b) implementing risk-informed programming; and (c) promoting peaceful and inclusive societies".

BOX 3 - COMPARATIVE ADVANTAGES OF UNICEF IN RISK REDUCTION

UNICEF has several comparative advantages when addressing the risk of humanitarian crisis:

- UNICEF has a mandate that integrates development and humanitarian programming and is thus present before, during and after a crisis, engaging at every stage of the humanitarian-development continuum.
- UNICEF has extensive experience of operating in fragile, conflict-affected and risk-prone contexts, and working in close proximity to communities that experience shocks and stresses.
- UNICEF is a technical expert in multidimensional child poverty, inequity and deprivation analysis and can enrich risk assessments by proposing a more people-centric and vulnerability-focused approach.
- UNICEF responds in a multi-sectoral manner, addressing the interlocking issues that affect a child's well-being while maintaining well-established relationships with technical line ministries.

[31] United Nations Children's Fund, UNICEF Strategic Plan, 2018–21, E/ICEF/2017/17/Rev.1, 16 August 2017, available at < https://www.unicef.org/about/execboard/files/2017-17-Rev1-Strategic_Plan_2018-2021-ODS-EN.pdf>, accessed 6 March 2018

[32] United Nations Children's Fund, Children in Crisis: What children need from the World Humanitarian Summit, April 2016, available at: < http://www.childreninachangingclimate.org/uploads/6/3/1/1/63116409/whs_children_in_crisis.pdf>, accessed 6 March 2017

[33] United Nations Children's Fund, Data Research and Policy Technical Note, Resilient Development, 18 April 2016, available at: <https://unicef.sharepoint.com/:w:/r/teams/Communities/RiskResilienceFragilityPeacebuilding/_layouts/15/WopiFrame.aspx?sourcedoc=%7BF2B8C210-F9D5-45A7-83D3-880A44B5B1F8%7D&file=Technical%20note%20on%20resilient%20development.docx&action=default\>, accessed 6 March 2018

[34] United Nations Children's Fund, Final results framework of the UNICEF Strategic Plan, 2018–21, E/ICEF/2017/18, 17 July 2017, available at < https://www.unicef.org/about/execboard/files/2017-18-Final_results_framework-ODS-EN.pdf >, accessed 6 March 2018.

[35] The UNICEF Strategic Plan, 2018–2021 will track the number of disruptions to educational services and to health services attributed to disasters (Sendai D-6, D-7). See: United Nations Office for Disaster Reduction, 'Sendai Framework Monitoring', UNISDR, Geneva, <www.unisdr.org/conferences/2017/globalplatform/en/programme/plenaries/view/581>, accessed 16 February 2018.

[36] United Nations Children's Fund, UNICEF Gender Action Plan, 2018–2021, E/ICEF/2017/16, 13 July 2017, available at <www.unicef.org/about/execboard/files/2017-16-Gender_Action_Plan-2017.07.14-Rev.1.pdf>, accessed 28 February 2018.

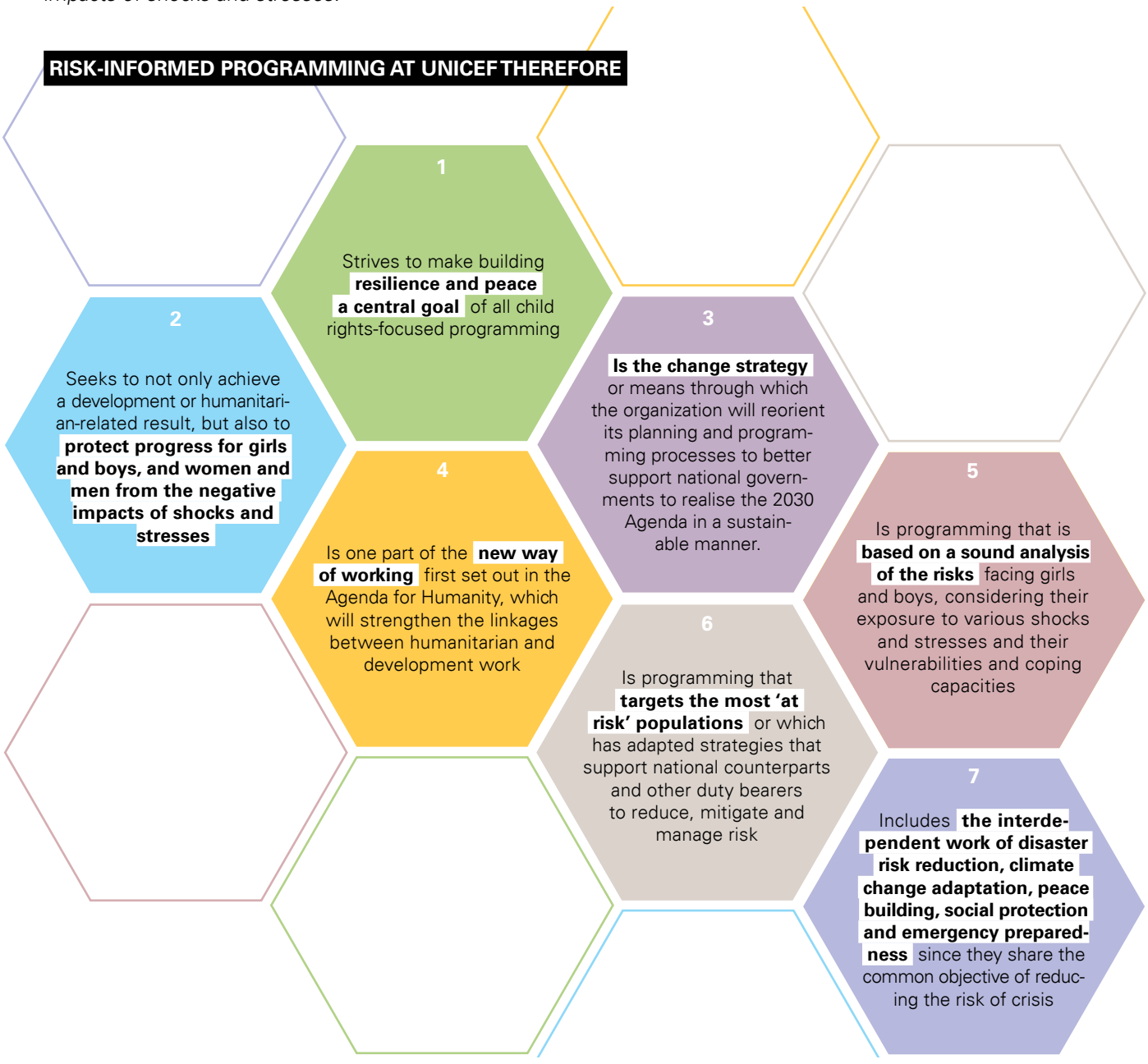
2. RISK-INFORMED PROGRAMMING

2.1 WHAT IS RISK-INFORMED PROGRAMMING?

Risk-informed programming aims to strengthen resilience to shocks and stresses by identifying and addressing the root causes and drivers of risk, including vulnerabilities, lack of capacity, and exposure to various shocks and stresses. It necessitates a robust risk analysis of the multiple hazards faced by households and communities, and requires government and other partners to be involved in the design or adjustment of programmes to ensure that they make a proactive commitment to reducing risk.

For UNICEF, risk-informed programming is child-centred. Using a human rights-based approach to programming, UNICEF supports national counterparts and a range of duty bearers and stakeholders to consider not only what changes are necessary to further the realization of child rights, but also *how to protect those gains from the negative impacts of shocks and stresses*.

RISK-INFORMED PROGRAMMING AT UNICEF THEREFORE



2.2 WHAT IS GRIP?

The UNICEF *Guidance for Risk-informed Programming* (GRIP) is a package of general and sector-specific modules that propose a methodology for conducting child-centred risk analysis and leading a collaborative process with multiple child rights stakeholders (including children, adolescents and youth) to design or adapt programmes to further risk reduction, resilience and peace.

What is GRIP?

- **GRIP is additional guidance for good programming** within the context of the new Strategic Plan, providing UNICEF country offices with advice on how to 'risk-inform' their respective Country Programmes of Cooperation. The GRIP modules can also be considered essential companions to the UNICEF Results-Based Management Learning Package,[37] since they should help UNICEF country offices to strengthen the 'risk lens' in their standard approach to situation analysis and strategic planning.

- **GRIP is a tool** to strengthen the interconnectedness of humanitarian, development and peacebuilding programming. Since GRIP supports child rights stakeholders (including governments, multilateral and bilateral development partners, members of civil society, and local community groups) to conduct multi-hazard risk analysis, it can help these same partners to collaborate to identify early wins in development-oriented risk reduction or shift the focus of humanitarian action towards reducing chronic vulnerabilities.

- **GRIP is a basis for more coherent internal risk management**. Since GRIP provides a method for ranking the risks associated with specific shocks and stresses that affect children, it can inform the analysis of risk to the achievement of programme results and/or risks to the enterprise (in terms of reputation, continuity of business operations, etc.). Conducting a robust analysis of risks in a particular country can help teams to meet the requirements of the emergency preparedness procedure and/or the enterprise risk management system, for example, by instilling a more credible and coherent approach to risk management.

- **GRIP is a compendium of good practices**. The GRIP package of modules also offers real examples of how UNICEF country offices have met the challenge of multi-stakeholder risk analysis and made innovations to traditional approaches to planning, programming and monitoring for children. Also included are examples of how UNICEF has improved the participation of children and youth in these processes. It is therefore a useful gateway to further learning and knowledge exchange around risk reduction.

- **GRIP is guidance that is aligned to international standards for integrating gender equality** and addressing gender-based violence through risk-informed mitigation and response preparedness strategies. The GRIP package draws on various Inter-Agency Standing Committee (IASC) preparedness and humanitarian response resources and the UNICEF *Gender-Based Violence in Emergencies (GBViE) Resource Pack*.[38] It also reflects gender equality strategies produced by our disaster risk reduction and climate change adaptation programming partners, which include the United Nations Development Programme (UNDP), the United Nations Office for Disaster Risk Reduction (UNISDR), the United Nations Population Fund (UNFPA) and the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women). In addition, GRIP links to policies, guidance and tools on protection from sexual exploitation and abuse.

It should be stated, however, that GRIP is:

- **NOT an institutional procedure**. It is guidance on how to strengthen your existing planning and practice, but it does not require compliance. Although every part of UNICEF has a role and responsibility to further risk-informed programming, GRIP neither assigns accountabilities nor establishes institutional benchmarks for performance in this regard.

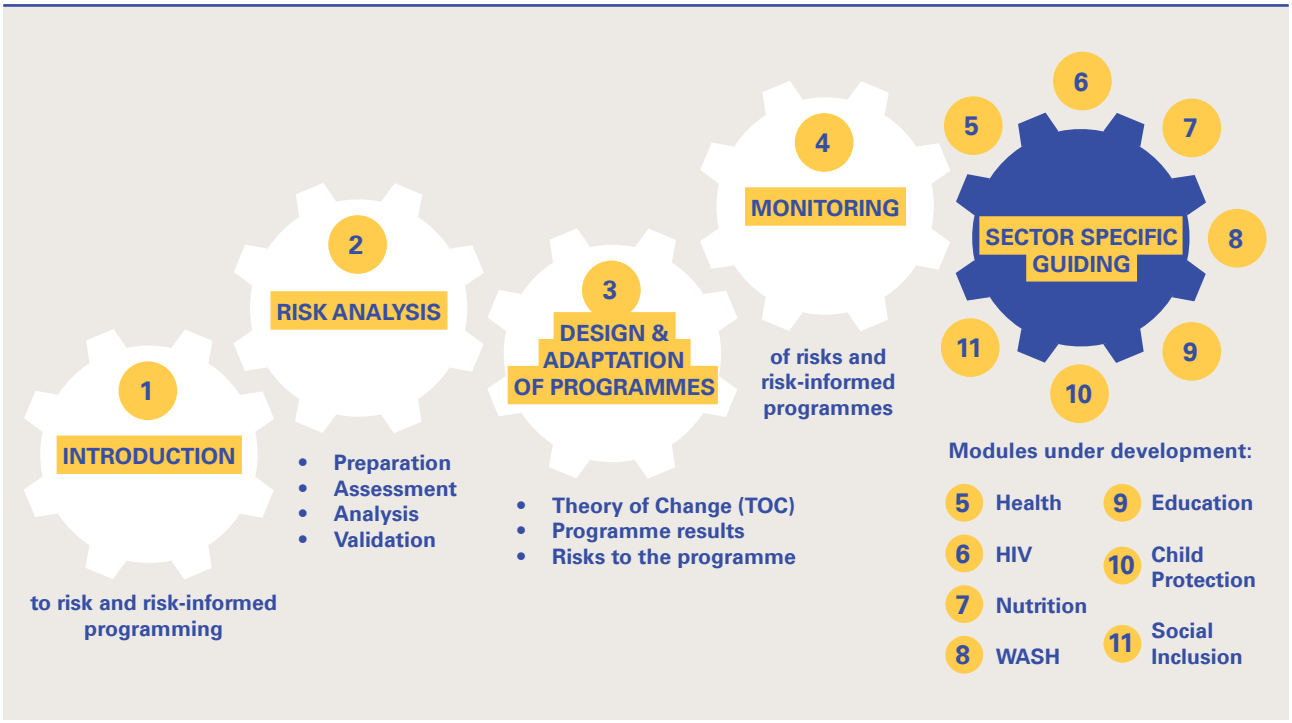
- **NOT specifically designed for independent use by external partners**. It does, however, provide clear guidance for how UNICEF teams can convene and facilitate multi-stakeholder groups to arrive at a common understanding of the risk landscape and how it affects children's rights and opportunities.

[37] The Results-Based Management Learning Package consists of the RBM Handbook, an e-Learning course and the face-to-face RBM workshop. The e-Learning course is available at < https://agora.unicef.org/course/info.php?id=3122>, accessed 6 March 2018.
[38] United Nations Children's Fund, Gender-based violence in emergencies resource pack summary available at: < https://www.unicef.org/protection/files/Resource_Pack_Card_Final_Print.pdf>, accessed 6 March 2018. For full GBViE tools and guidance, contact Mendy Marsh or Catherine Poulton.

- **NOT a tool for collecting primary data**. GRIP Module No. 2 does, however, provide a clear methodology for how to gather secondary data and conduct a risk analysis that puts children – and their special needs, vulnerabilities and capacities – at its centre.

Each of the general and sector-specific GRIP modules is designed to support a different aspect or phase in risk-informed programming (see **Graphic 1**).

Graphic 1 - GRIP structure



2.3 WHO IS GRIP FOR?

GRIP is specifically designed to enhance the understanding of UNICEF country office staff, but it should be applied in a participatory and collaborative manner with national counterparts, development partners, members of civil society and other child rights stakeholders – including children, adolescents and youth themselves. It can be applied in any country context, ranging from low- to high-risk countries, stable to fragile situations, and low- to upper-middle-income economies. GRIP has relevance for development programmes and for humanitarian action in complex emergencies.

GRIP targets UNICEF senior management and the planning, programme and emergency teams in particular. It is also very useful for staff working in operations, advocacy and external relations, resource mobilization, evaluation and other areas of focus at various levels of the organization, including in UNICEF regional offices and at UNICEF Headquarters.

GRIP can also help UNICEF staff to participate more effectively in risk analysis processes led by government or other development partners, and to apply a 'child rights lens' to ensure that children's special needs, vulnerabilities and capacities are considered in risk-informed planning and programming. The GRIP method complements a variety of existing tools and agency-specific guidance introduced recently by the United Nations and development partners, including the Organisation for Economic Co-operation and Development (OECD) *Guidelines for Resilience Systems Analysis*.[39] (For a list of some of these complementary tools and guidance, see the Annex to the core GRIP Modules).

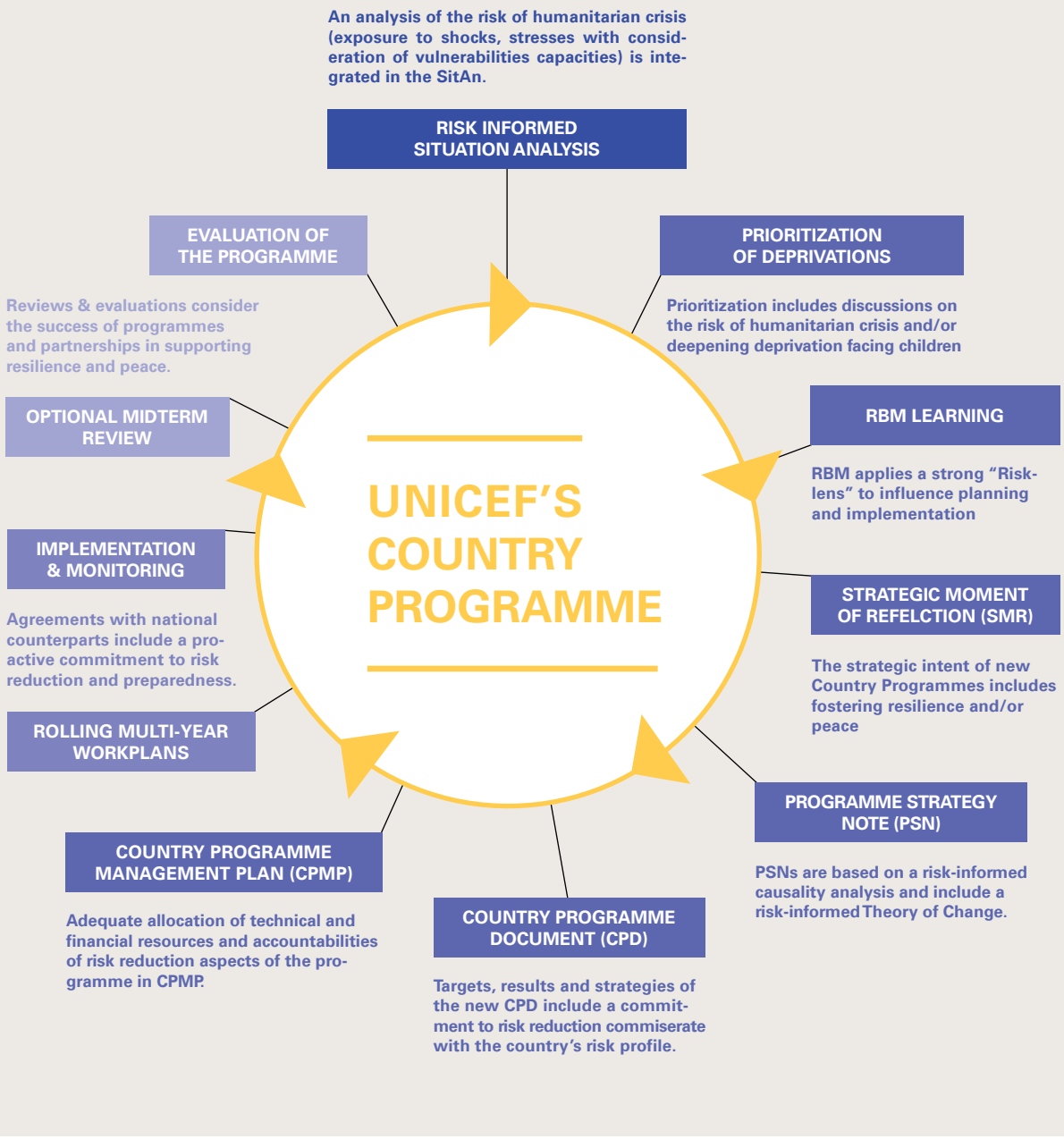
[39] Organisation for Economic Co-operation and Development, Guidelines for Resilience Systems Analysis, OECD Publishing, 2014, available at <https://www.oecd.org/dac/Resilience%20Systems%20Analysis%20FINAL.pdf>, accessed 16 February 2018.

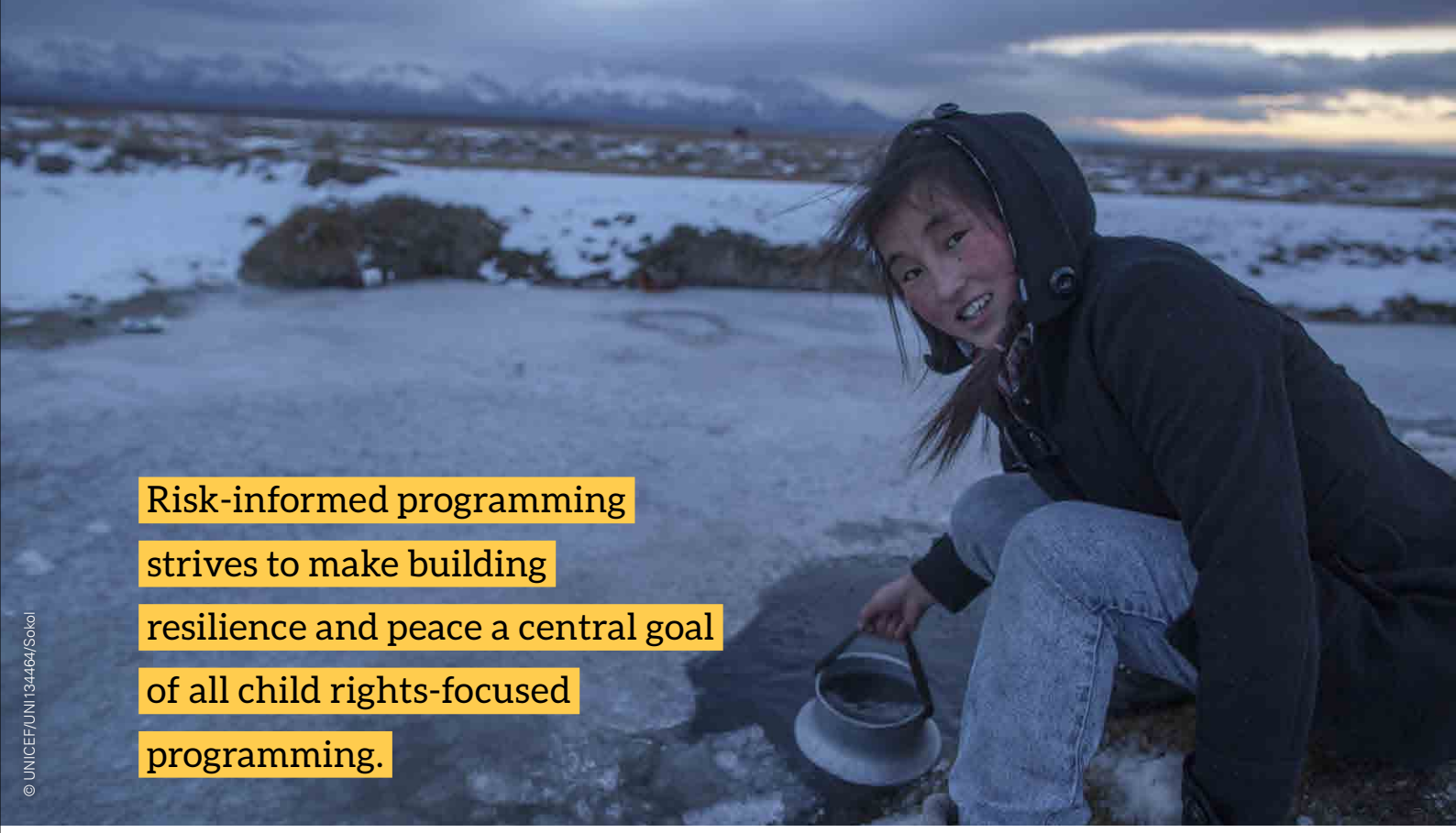
2.4 WHEN SHOULD GRIP BE APPLIED?

GRIP recognizes that strategic planning is a dynamic and iterative process that must adapt to local requirements and opportunities. To be most influential, GRIP is best applied during the design of new UNICEF Country Programmes of Cooperation and United Nations Development Assistance Frameworks and/or as a means to guide major programme reviews that may result in the authorization of adjustments to programmes and partnerships. GRIP can be applied at any stage of the country programming cycle, however (see **Graphic 2**).

UNICEF may also apply GRIP to influence national planning processes (e.g., the elaboration of a new national development plan) and/or significant milestones in the programming of major development partners (e.g., the United Nations Common Country Assessment and/or the country analysis of major international financing institutions). GRIP can also be used in the course of review processes, including annual and mid-term reviews or a Gender Programme Review.

Graphic 2 - Application of GRIP at all stages of the UNICEF country programming cycle





Risk-informed programming strives to make building resilience and peace a central goal of all child rights-focused programming.

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2.5 WHAT IS A GRIP WORKSHOP?

A GRIP workshop is a flexible, participatory-style workshop tailor-made to support UNICEF country offices and their national counterparts and partners to consider how the risk of humanitarian crisis affects children, their caregivers and their communities. Although a GRIP workshop is not mandatory, it is recommended for country offices that have a medium to high risk rating and which are entering the analysis or strategic planning phase of the country programming cycle.

A GRIP workshop can be particularly useful in helping multi-stakeholder groups to:

- develop or validate a risk analysis that considers the exposure of households and communities to various shocks and stresses as well as household and community vulnerabilities and existing national capacities
- develop sector-wide or multi-sectoral causality analysis and risk-informed theories of change
- embark on strategic planning for the elaboration of new UNICEF Country Programmes of Cooperation or United Nations Development Assistance Frameworks
- integrate equity and gender considerations into the risk analysis, and identify specific barriers, bottlenecks and opportunities that can inform programming
- consider the adaptation of work plans and partnerships with national counterparts and other stakeholders to reinforce resilient development and peace.

Usually, a GRIP workshop takes place over two to three days and includes the validation of a country- or area-specific risk analysis (developed prior to the workshop) as well as several collaborative exercises to either design new programmes with national counterparts (through a risk-informed theory of change) or adapt existing programmes (focusing on work plans and partnership agreements).

UNICEF regional office planning and emergency advisers, in cooperation with UNICEF Headquarters through the Humanitarian Action and Transition Section (HATIS) in Programme Division, can support country offices to consider if, how and when a GRIP workshop may be useful in the analysis, strategic planning or implementation phase of the country programming cycle. Many country offices have already completed a GRIP workshop or strengthened risk analysis via other training (see **Map 1**).

Whether or not a country office decides to hold a 'stand-alone' GRIP workshop, certain aspects of GRIP should be integrated into existing UNICEF training sessions and consultative processes, including:

- consultation for, and validation of, situation analyses on the status of women and children, to ensure that the situational analysis integrates a strong analysis of the risk of humanitarian crisis in country
- results-based management (RBM) training sessions that have a strong focus on the application of the risk lens
- theory of change workshops or 'write-shops' held with national counterparts and regional advisers
- strategic moments of reflection, to provide a means to reaffirm the institutional commitment to resilient development in the programme's strategic intent
- optional mid-term reviews, to provide a means to adjust programme results and strategies, and thus create work plans and partnerships that are more risk-informed
- other reviews such as the Gender Programme Review, which is usually carried out once per country programming cycle.

Map 1

GLOBAL EXPERIENCE

GRIP Workshops around the world

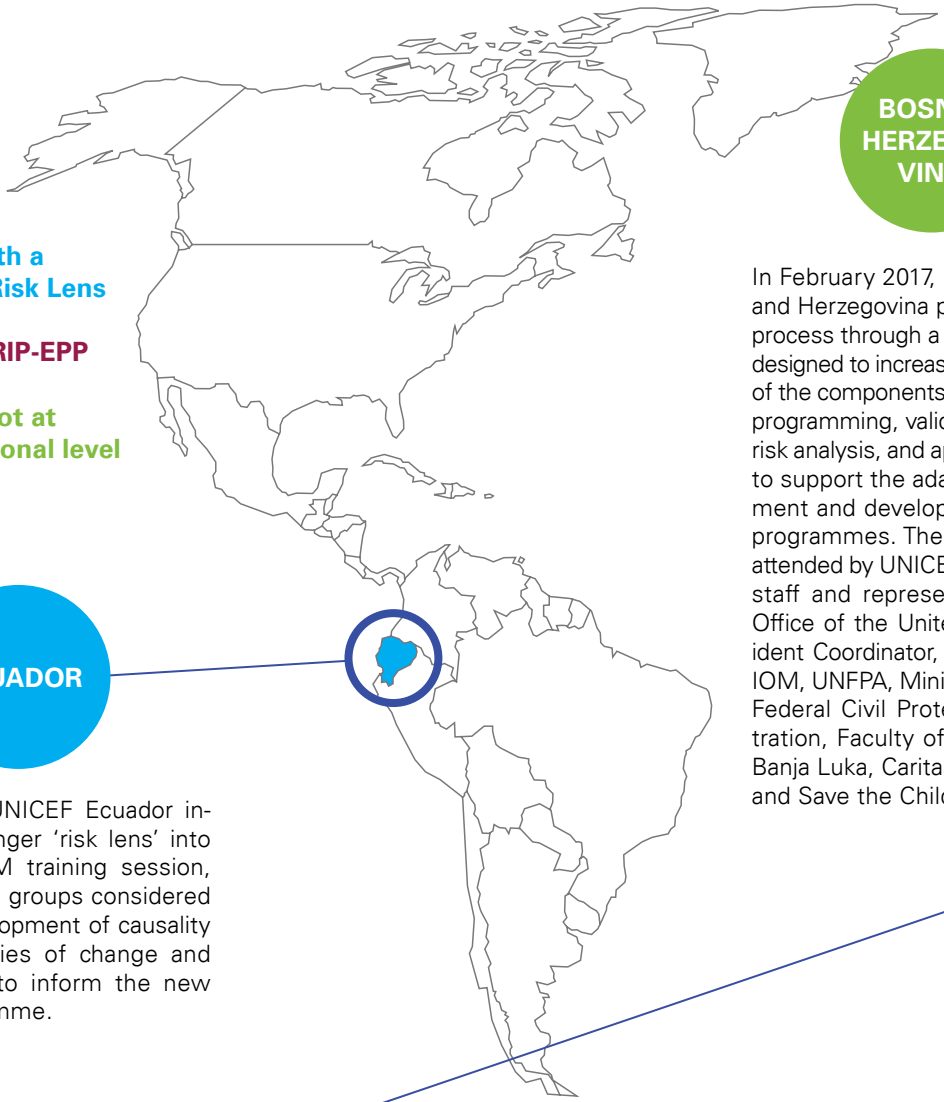
In February 2018, UNICEF Pakistan held a 2-day internal GRIP workshop for programme staff. Participants validated a risk analysis for the country, conducted a risk-informed causality analysis and then reviewed existing programme strategy notes to reorient them to be more risk-informed.

PAKISTAN

BOSNIA HERZEGO-VINA

In February 2017, UNICEF Bosnia and Herzegovina piloted the GRIP process through a 3-day workshop designed to increase understanding of the components of risk-informed programming, validate the existing risk analysis, and apply the analysis to support the adaptation, adjustment and development of sector programmes. The workshop was attended by UNICEF country office staff and representatives of the Office of the United Nations Resident Coordinator, UNHCR, UNDP, IOM, UNFPA, Ministry of Security, Federal Civil Protection Administration, Faculty of Social Work of Banja Luka, Caritas Internationalis and Save the Children.

- RBM with a strong Risk Lens
- Joint GRIP-EPP
- GRIP Pilot at sub-national level



ECUADOR

In June 2017, UNICEF Ecuador integrated a stronger 'risk lens' into its 3.5-day RBM training session, ensuring that all groups considered risk in the development of causality analyses, theories of change and results chains to inform the new country programme.

UGANDA

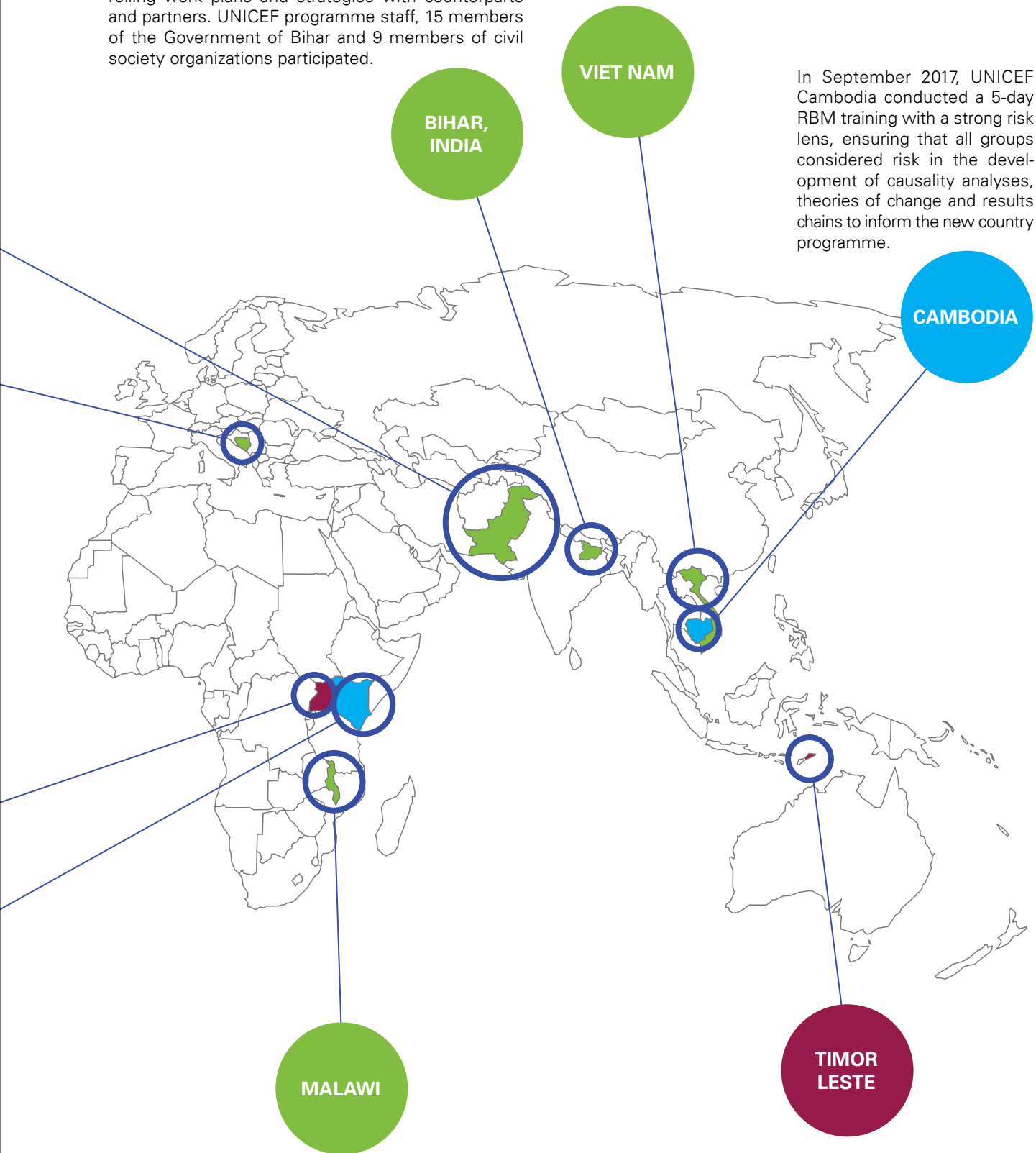
In October 2017, UNICEF Uganda held a 3-day joint workshop on GRIP and the Emergency Preparedness Platform (EPP) to ensure a common knowledge base among UNICEF staff on risk-informed programming and the Core Commitments for Children. The workshop also supported the roll-out of new UNICEF preparedness guidance.

KENYA

In June 2017, UNICEF Kenya piloted a one-week joint workshop on results-based management (RBM) and Guidance for Risk-informed Programming (GRIP). In total, 30% of the training was devoted to GRIP. Participants spent a full day validating a risk analysis in order to integrate considerations of risk into their causality analysis, theory of change and results chain to inform the new country programme.

In June 2017, the UNICEF Bihar State Office piloted the GRIP process through a 3-day workshop. Participants validated a risk assessment, considered specific risks and priority actions for each sector, and made a commitment to adjust programme strategy notes, rolling work plans and strategies with counterparts and partners. UNICEF programme staff, 15 members of the Government of Bihar and 9 members of civil society organizations participated.

In December 2017, UNICEF Viet Nam held a 2-day internal GRIP workshop for programme staff. Participants validated a risk analysis for the country, conducted a risk-informed causality analysis and then reviewed existing work plans with national counterparts to reorient them to be more risk-informed.



In September 2017, UNICEF Cambodia conducted a 5-day RBM training with a strong risk lens, ensuring that all groups considered risk in the development of causality analyses, theories of change and results chains to inform the new country programme.

In May 2017, UNICEF Malawi piloted the GRIP process through a 3-day workshop. Participants validated a risk assessment, considered specific risks and priority actions for each sector, and made a commitment to adjust programme strategy notes, rolling work plans and strategies with counterparts and partners. Participants included representatives of the government, Office of the United Nations Resident Coordinator and Malawi Red Cross Society.

In April 2018, UNICEF Timor-Leste held a joint GRIP-EPP workshop for internal programme staff. Participants validated their risk analysis, developed a causality analysis and considered how to adapt their existing work plans and partnerships. They also carried forward their scenario planning and identification of preparedness measures to meet the requirements of the EPP.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3. UNDERSTANDING RISK

3.1 WHAT IS RISK?

There is no universally agreed definition of risk. It is a term used generally in all aspects of life and is related to the concept of future harm or the likelihood of a negative impact occurring.

UNISDR, for example, defines risk as: "The potential loss of life, injury, or destroyed or damaged assets which could occur to a system, society or a community in a specific period of time, determined probabilistically as a function of hazard, exposure, vulnerability and capacity."[40] The European Union refers to risk as "the combination of the probability of an event and its negative consequences".[41] The Overseas Development Institute's Humanitarian Policy Group suggests risk is "the probability of a harmful event or hazard occurring and the likely severity of the impact of that event or hazard".[42]

To clarify the concept of risk, it can be helpful to identify the 'object' that is potentially under threat and the 'subject' that is acting on the object to cause the threat. An illustrative example of this is presented to better explain the concept of risk in practice and why different definitions often arise among risk managers or among risk management approaches (see **Graphic 3**). In this example, the definition of risk differs across the GRIP, RBM and enterprise risk management approaches applied by UNICEF, as each considers a different object. The GRIP approach focuses primarily on 'contextual risks' affecting children; the RBM approach considers both risks to children and to the programme; and the enterprise risk management approach focuses primarily on risks to UNICEF as an organization. Although the concepts are interrelated, and the hazards or threats might be the same, different risks can be identified depending on the specific object in focus.

Since GRIP advances a people-centric approach that is concerned with identifying and reducing the negative impacts of shocks and stresses on children, it defines risk as: the likelihood of shocks or stresses leading to the erosion of development progress, the deepening of deprivation and/or humanitarian crisis affecting children, vulnerable households or groups. GRIP Module No. 2 provides a method for developing a risk analysis to determine the likelihood and potential impact of humanitarian crisis – in part to help UNICEF country offices meet the requirements of the emergency preparedness procedure. The sector-specific GRIP Module Nos. 5–11 can help teams to better identify risks that might deepen deprivation and/or lead to an erosion of positive progress in each sector.

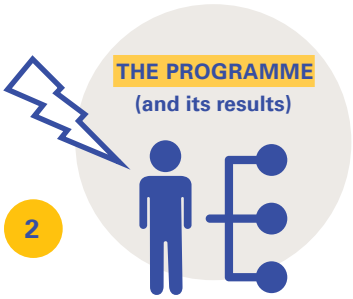
According to GRIP, a shock or stress can come from almost anywhere: a natural phenomenon such as an earthquake; a climate change-related event such as sea level rise; a technological hazard such as a nuclear power accident; or civil unrest, armed conflict and/or serious challenges to social cohesion. GRIP Module No. 2 provides additional clarification in this regard as well as a list of indicative shocks and stresses that can negatively affect the lives of children. Every analysis – just like every country – is unique, however.

[40] See the complete list of disaster risk terminology recommended by an open-ended intergovernmental expert working group and adopted by the United Nations General Assembly. United Nations Office of Disaster Risk Reduction, 'Terminology on disaster risk reduction', UNISDR, <www.unisdr.org/we/inform/terminology>, accessed 6 March 2018.
[41] European Commission, 'Disaster Risk Reduction: Increasing resilience by reducing disaster risk in humanitarian action', DG ECHO Thematic Policy Paper No. 5, European Commission, September 2013, available at <http://ec.europa.eu/echo/files/policies/prevention_preparedness/DRR_thematic_policy_doc.pdf>, accessed 6 March 2018.
[42] Metcalfe, Victoria, Ellen Martin and Sara Pantuliano, 'Risk in humanitarian action: towards a common approach?', Humanitarian Policy Group Commissioned Paper, Overseas Development Institute, January 2011, available at <www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/6764.pdf>, accessed 6 March 2018.

Graphic 3 - Three ways of thinking about risk: Risks to children, to the programme or to the enterprise

Subject:
A significant "contextual" shock or stress

RISK is defined as:
The likelihood of shocks and stresses leading to an erosion of development progress, deepening deprivation or humanitarian crisis affecting children, vulnerable households or groups.



Subject:
Any potential threat to achievement of programme results

RISK is defined as:
The likelihood of a potential event or occurrence beyond the control of the programme adversely affecting the achievement of a desired result.

Subject:
Any potential threat to strategic, programmatic, financial or operational effectivemess of the enterprise

RISK is defined as:
Threats to the achievement of results, management objectives reputation, resource mobilization, protection of resources, staff safety and security or continuity of operations.

3.2 THE RISK FORMULA

GRIP adopts the standard UNISDR risk formula as the main conceptual framework for risk analysis (see **Graphic 4**). It also provides a variation of this formula that can help to simplify the concepts for the purpose of multi-stakeholder discussions. In either case, the formula suggests that risk is actually a product of the interaction between several different variables. As one variable changes, so does the overall risk.

To understand risk, it is therefore necessary to systematically analyse each of the variables involved. To do this, the following questions can be posed:

- What are the shocks and stresses, and what is the type, likelihood and severity of each?
- Who and what are exposed to each specific shocks or stress and where are they located?
- Who is especially vulnerable? What characteristics make these individuals or groups particularly susceptible to the negative impacts of a specific shock or stress?
- What capacities do communities, authorities, institutions or systems have (or need) to prevent, mitigate, prepare for, respond to and recover from a specific shock or stress?

Graphic 4 - The risk formula

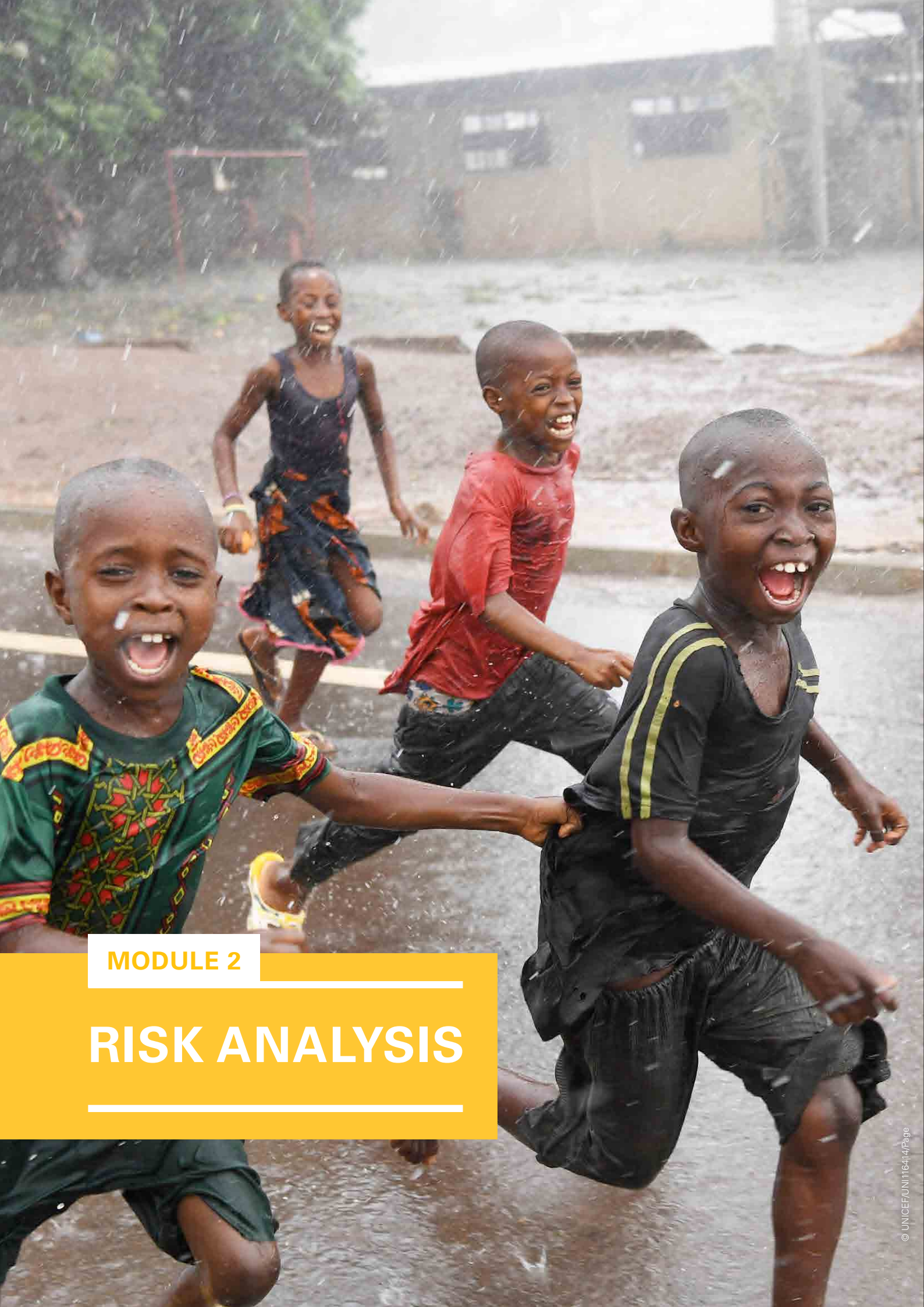
SHOCK: a sudden and potentially damaging phenomenon
STRESS: similar to a shock, but is chronic in nature and can occur over a longer period of time.
Analysis considers type, likelihood and severity or potential tipping point.

EXPOSURE: the presence of people, property, livelihoods, systems or other elements in areas that can be impacted by various shocks and stresses.

VULNERABILITY: the characteristics and circumstances of a child, household or community that make it susceptible to the damaging effects of a shock or stress.

$$\text{RISK} = \frac{\text{HAZARD, SHOCK OR STRESS} \times \text{EXPOSURE} \times \text{VULNERABILITY}}{\text{CAPACITY}}$$

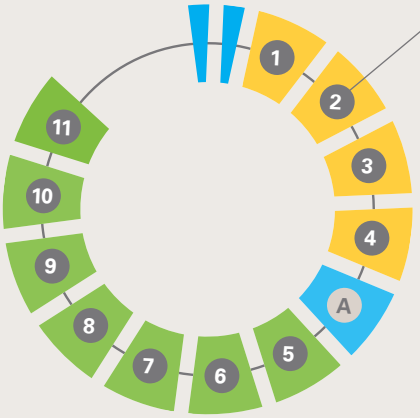
CAPACITY: the combination of all the strengths, attributes and resources available within a community, society or organization.



MODULE 2

RISK ANALYSIS

MODULE 2: RISK ANALYSIS



CONTENTS FOR MODULE 2

All the hyperlinks are active

OVERVIEW OF GRIP MODULES 1 AND 2

GRIP Module No. 1 explains the:

- importance of risk in the 2030 Agenda for Sustainable Development, and the increasing frequency and severity of shocks and stresses
- UNICEF approach to resilient development, which puts children at the centre of analysis, planning and programming
- purpose of the UNICEF *Guidance for Risk-informed Programming* (GRIP)
- risk formula.

GRIP Module No. 2 is designed to help UNICEF country offices and key child rights stakeholders to:

- conduct an assessment of the risk of humanitarian crisis in country (ranking each shock/stress and/or geographical area by the risk associated with it) using child-centred indicators and approaches (sector-specific modules consider the wider risks of the deepening of deprivation and the erosion of development progress)
- work with partners to identify the causes of various impacts and losses, and their effects on existing deprivations facing children
- analyse the roles and capacities of duty bearers, including those that might increase the potential for a more resilient and peaceful society
- validate the analysis and consider opportunities to maximize its dissemination and use.

1. INTRODUCTION

1.1 WHY DO WE NEED A RISK ANALYSIS? WHAT IS DIFFERENT ABOUT THE UNICEF APPROACH?

UNICEF recognizes that although humanitarian crisis cannot always be prevented, the suffering associated with the impacts of various shocks and stresses on children can be greatly reduced through strong, proactive and collaborative risk-informed programming. Understanding the probability of various hazards occurring, their patterns of exposure and the most likely impacts on children, women and vulnerable groups is essential. It is also critical to consider why these risks occur with such frequency and severity, who is responsible for addressing them, and what capacities these actors need to fulfil their duties so that evidence and knowledge can be turned into programming practice.

Working together so that key child rights stakeholders share a better understanding of risk can:

- **leverage national and international resources** for those programmes that make the greatest difference in reducing the risk of humanitarian crisis and/or better equipping the geographical areas that need it most
- **enable the adaptation of stakeholder strategies** to local contexts, to better protect development gains and outcomes for children, women and vulnerable groups
- **close the arbitrary gap between humanitarian and development work** by providing a common basis for targeting vulnerable children and communities, so that development programmes focus on risks as well as inequities, and humanitarian programmes focus on reducing risks and vulnerabilities over the long term
- **avoid doing harm** in situations where inequity and gender inequality already heighten vulnerability for many people.

Many national risk analyses conducted by national counterparts and partners focus on risks to the adult population, to socio-economic assets or to specific productive sectors such as agriculture or industry. The UNICEF *Guidance for Risk-informed Programming* (GRIP) approach is inspired by these standard approaches, but is child-centred: it puts the special needs, vulnerabilities and capacities of children at the centre of the analysis. It also considers vulnerabilities specific to women, including in relation to gender-based violence prevention, gender-sensitive preparedness for response and the prevention of sexual exploitation and abuse.[1]

For example, the GRIP approach:

- focuses on the **exposure** of children to various shocks and stresses, giving special consideration to the infrastructure and systems that are critical to children's development
- captures the **vulnerability** of children and their households in terms of their socio-economic status, health and well-being
- considers the existing **capacities** required to reduce risks, manage crisis and ensure the continuity of services for children and their caregivers
- uses a **human rights-based approach** to consider the capacity gaps of the primary duty bearers that play a critical role in reducing risk for children and protecting and upholding their rights.

1.2 WHEN IS THE BEST TIME TO CONDUCT A RISK ANALYSIS?

All UNICEF country offices irrespective of the country's risk rating should develop a child-centred risk analysis once per planning cycle. When to conduct the risk analysis will depend on a variety of factors, including the:

- current position of the UNICEF country office in the planning cycle for the UNICEF Country Programme of Cooperation and the United Nations Development Assistance Framework
- opportunities that exist to contribute to national risk analysis and planning processes
- availability of quality data and information (e.g., the availability of new data from census, survey and/or administrative data sources)
- internal and external capacities and resources available to see the analysis through to completion.

[1] Inter-Agency Standing Committee, Protection from Sexual Exploitation and Abuse (PSEA) by our own staff, <www.pseataskforce.org>, accessed 10 March 2018.

For UNICEF, one of the most influential times to conduct a child-centred risk analysis is while elaborating a situation analysis (SitAn) of children's and women's rights, since the SitAn will contribute to national research, inform national planning and development processes, and influence the shape of both UNICEF country programmes and United Nations Development Assistance Frameworks.

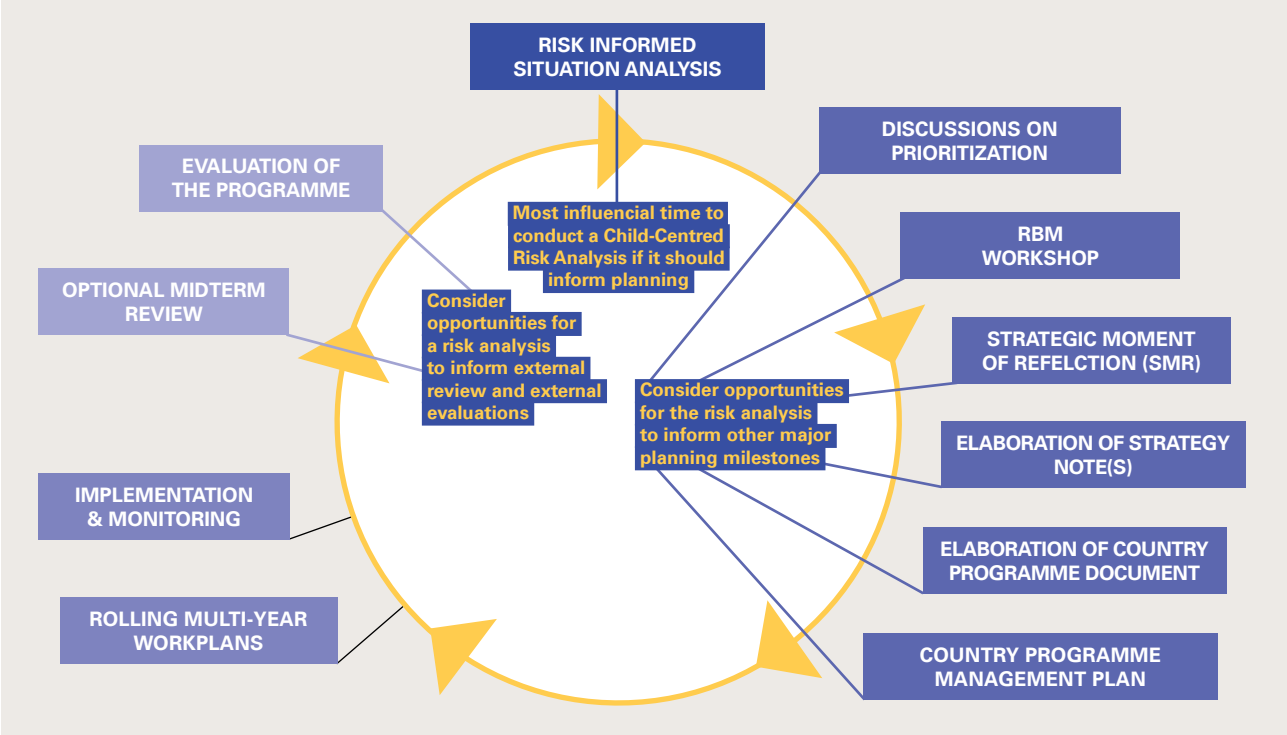
If possible, the SitAn itself should include a robust risk analysis. To maximize the potential to integrate risk into the SitAn, the GRIP risk analysis is aligned to the UNICEF *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*[2] and the *Technical Note: Emergency Risk Informed Situation Analysis*.[3] It is also designed to help UNICEF country offices meet the requirements for risk analysis outlined in the UNICEF Procedure on Preparedness for Emergency Response.[4]

Since 'classic' SitAns are typically conducted once every five years (once per country programming cycle), not all UNICEF country offices can immediately integrate risk analyses.[5] When integration into the SitAn is not possible, an independent risk analysis can instead be linked to either:

- another critical milestone in the UNICEF country programming cycle such as the strategic moment of reflection or the development of programme strategy notes
- a joint implementation or review process with partners such as the optional mid-term review or the Gender Programme Review
- a major national or inter-agency planning milestone or significant opportunity to contribute to national or inter-agency research that aims to expand the evidence base related to risks to children, their families and their communities
- the update of the risk analysis held on the Emergency Preparedness Platform, which should align with the development of the country office annual work plan (or, in the case of rolling and multi-year country work plans, with scheduled reviews of the work plan).

Risk analysis may be most influential at specific stages of the UNICEF country programming cycle, in line with the organization's planning milestones (see **Graphic 1**).

Graphic 1 - Timing of child-centred risk analysis in relation to UNICEF country programming milestones



[2] United Nations Children's Fund, *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*, UNICEF Division of Policy and Strategy, March 2012, available at <www.unicefinemergencies.com/downloads/eresource/docs/Rights based equity focused Situation Analysis guidance.pdf>, accessed 17 February 2018.
[3] United Nations Children's Fund, *Technical Note: Emergency Risk Informed Situation Analysis*, UNICEF, Geneva, August 2012, available at <www.unicefinemergencies.com/downloads/eresource/docs/KRR/Guidance Risk Informed SitAn FINAL.pdf>, accessed 17 February 2018.
[4] United Nations Children's Fund, UNICEF Procedure on Preparedness for Emergency Response, EMOPS/PROCEDURE/2016/001, Effective date 30 March 2018, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/RF/Regulatory%20Framework%20Library/UNICEF%20Preparedness%20Procedure%2029%20Dec%2016.pdf>, accessed 8 March 2018.
[5] There are three main categories of SitAn: (1) 'Shared' or joint analysis – conducted in full partnership with government or other development actors; (2) the 'classic' SitAn – which is usually a single, comprehensive document; and (3) the 'SitAn space' – which is a series of issue-based, group-based, sector-based, region-specific and/or life cycle-focused analyses.

Global good practice in elaborating risk-Informed SitAns

For good examples of UNICEF SitAns that integrate risk analysis, see the national SitAn for the Philippines and the sub-national SitAn for the Autonomous Region in Muslim Mindanao in the Philippines, which are available on the Risk and Resilience, Fragility and Peacebuilding team site.[6] Both reports were commissioned by UNICEF Philippines and written by Coram Children's Legal Centre, part of the Coram group of charities.

1.3 WHAT IS THE PROCESS?

The GRIP child-centred risk analysis process has four phases, which align with the phases of the UNICEF SitAn (see **Graphic 2**). The assessment phase is designed specifically to help UNICEF country offices also meet the requirements of the Procedure on Preparedness for Emergency Response and therefore focuses on ascertaining the risk of humanitarian crisis associated with different shocks and stresses. The analysis phase provides an opportunity to consider the risk of deepening deprivation facing children and/or an erosion in development progress in a particular sector.

The four phases of the GRIP child-centred risk analysis are:

1. **Preparation** Establishing the strategic purpose and scope of the analysis as well as its timing, participants, governance structures and budget.
2. **Assessment** Updating relevant data and information to assess both the exposure of children (and important systems that support children) to various shocks and stresses, and the existing vulnerabilities and capacities that combine to increase the risk of crisis.
3. **Analysis** Consideration of why the identified risks are occurring, who is responsible for addressing them, and what capacities these actors have or lack in this regard.
4. **Validation** Approval of the analysis in conjunction with partners, involving the consideration of the dissemination and use of the analysis, of data management, and of the overall quality of the work.

Graphic 2 - Summary of the GRIP risk analysis process

1. PREPARATION	2. ASSESSMENT	3. ANALYSIS	4. VALIDATION
1.1 Determine purpose	2.1 Likelihood of shock and stresses	3.1 Perform a participatory causality analysis	4.1 Review and validate Analysis
1.2 Confirm risk rating and scope	2.2 Consider and rate potential impacts • Exposure • Impacts and losses • Vulnerabilities and capacities	3.2 Consider a role pattern analysis and capacity gap analysis	4.2 Disseminate and use
1.3 Establish accountabilities and management structures	2.3 Rank the risks associated with each shock/stress	GRIP Consider a GRIP workshop	4.3 Assess performance
1.4 Determine participants			
1.5 Estimate resources			

UNICEF is experienced in conducting child-centred risk analyses: for a variety of purposes; at different depths (from in-depth studies to light-touch reports); using multiple dimensions (temporal and spatial); and at various scales (at the national, sub-national and city level). UNICEF also has examples that take gender equality considerations into account. (For just a few examples, see **Map 2**).

[6] The Risk and Resilience, Fragility and Peacebuilding team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/RiskResilience-FragilityPeacebuilding/SitePages/Home2.aspx>, accessed 8 March 2018.

1.4 OTHER COMPLEMENTARY METHODS

There are benefits and drawbacks to following the GRIP approach to risk analysis.

Benefits of the GRIP approach

- It is ideal for facilitating discussion among diverse multi-stakeholder groups, using a participatory approach.
- It simplifies the risk formula and applies an easy, step-by-step method that can be understood by a wide range of technical professionals.
- It produces a narrative that is well structured to meet the requirements of the Procedure on Preparedness for Emergency Response and to be integrated into the UNICEF SitAn.

Drawbacks of the GRIP approach

- It focuses at the national level and may therefore obscure great variation at the sub-national level in terms of exposure to various shocks and stresses and vulnerabilities of households and communities.
- It focuses primarily on ascertaining the risk of humanitarian crisis, to align with the risk analysis required under the Procedure on Preparedness for emergency Response, therefore a special effort or additional analysis may be necessary to consider properly the risk of the deepening of deprivation and/or the erosion of development progress for children.

Given these limitations, some UNICEF country offices will clearly wish to conduct additional specialized assessments or analysis to complement the GRIP risk analysis. There are many options, three of which are summarized below (for examples of these optional approaches in action, see **Box 2**). UNICEF also has experience of building databases and systems to monitor changes in risk over time. This can help decision-makers to make more rapid adjustments to programme strategies and to better support long-term planning with national authorities (for more on the monitoring of risks, see ***GRIP Module No. 4***).

SPATIAL RISK ASSESSMENT (OR 'CHILD-CENTRED RISK MAPPING')

According to the *Technical Note: Emergency Risk Informed Situation Analysis*, countries, states and territories with a higher risk rating should perform a quantitative assessment of the spatial distribution of risk across distinct geographical areas. This assessment method can help multi-stakeholder teams (including, in particular, national and local government) to sharpen targets for resource allocation and programming – and can inform how strategies may be adapted to local contexts and risks. Since location and exposure to shocks and stresses are recognized as factors that drive inequity, a spatial risk assessment greatly supports UNICEF efforts to further the equity approach, leaving no one behind.

METHOD

The process involves quantifying each variable in the risk formula using relevant child-sensitive indicators and then assigning a relative score to each of the various administrative areas. Using a geographic information system, data related to each variable can be converted into layers of information that can be laid on top of each other to enable the estimation of the sub-national distribution of risk.

CONSIDERATIONS

Although spatial risk assessment has many benefits, it calls for more detailed data that are disaggregated at the sub-national level. Generally, the higher the resolution (or smaller the scale) of the analysis, the more challenging it can be to source quality data. This approach also requires a geographic information system and the technical skills required to handle data, to develop methodologies for spatial analysis and to manage databases. Since database development should be carried out in support of efforts by national authorities to strengthen national monitoring systems, this method also implies the need for stronger, longer-term partnerships with government (which may be challenging in situations of fragility or low capacity). For UNICEF, strong management is also required to ensure that the products of the assessment (e.g., thematic maps) are reviewed and their implications for programming properly considered. For all of these reasons, this option is recommended only for higher-risk countries and those with adequate technical and financial resources to support it.

RESOURCES

- UNICEF Regional Office for South Asia (ROSA) and UNICEF East Asia and Pacific Regional Office (EAPRO) collaborated to produce *Child-centred Risk Assessment: Regional Synthesis of UNICEF Assessments in Asia*.[7] This provides early examples of spatial risk assessment and remains a useful guide to methodology.
- UNICEF has experience of supporting or conducting spatial risk assessments in East Asia and the Pacific, South Asia, West Africa, and Latin America and the Caribbean, contributing to the roll-out of the Index for Risk Management (INFORM) model at regional and sub-national levels. For a list of assessments, best practice examples and lessons learned on management and methods, consult the Risk and Resilience, Fragility and Peacebuilding team site.
- Recognizing the need for specialist services, UNICEF EAPRO developed a Long-term Arrangement for Services with two institutions skilled in spatial risk assessment, while the Data, Research and Policy division maintains agreements with several geographic information systems firms. Before embarking on a spatial risk assessment, consult the relevant UNICEF regional office and the Humanitarian Action and Transition Section (HATIS) in Programme Division (UNICEF Headquarters) for a list of qualified service providers who can support the process.

CONFLICT ANALYSIS

High-risk countries or areas experiencing armed conflict, civil unrest and/or major threats to social cohesion may consider developing a specific conflict analysis. Given that many conflicts, particularly within states, emerge in response to a belief that a specific group or area is being marginalized, a conflict analysis can improve conflict sensitivity in existing programming and also support the design of programmes to proactively build social cohesion and peace.

METHOD

Many conflict analysis frameworks and methodologies exist, but the UNICEF model consists of five key elements, the first two of which are ideally completed during the early assessment phase of a larger risk analysis, and the rest during the analysis phase. A conflict analysis can be integrated into the GRIP risk analysis or it may be conducted separately (to better understand the relationship between these complementary approaches, see **Box 1**).

CONSIDERATIONS

Conflict dynamics is likely to be a sensitive topic for many participants. Deciding how to frame issues, what language to use, whom to involve, what scope to fix, and how to manage individual and group biases can be challenging. As such, it is recommended that UNICEF country offices planning a conflict analysis consult institutional guidance and consider engaging the support of a qualified facilitator to run consultation workshops.

RESOURCES

UNICEF *Guide to Conflict Analysis*[8]
UNICEF *Conflict Sensitivity and Peacebuilding Programming Guide*[9]
Risk and Resilience, Fragility and Peacebuilding team site, which contains case studies and good practices.

[7] United Nations Children's Fund, *Child-centred Risk Assessment: Regional Synthesis of UNICEF Assessments in Asia*, UNICEF Regional Office for South Asia, Kathmandu, January 2014, available at <www.preventionweb.net/files/36688_36688rosaccriskassessmentfeb2014.pdf>, accessed 18 February 2018.
[8] United Nations Children's Fund, *Guide to Conflict Analysis*, UNICEF, November 2016, available at: <http://s3.amazonaws.com/ineeassets/resources/Guide_to_Conflict_Analysis_-_UNICEF_Nov_2016.pdf>, accessed 17 February 2018.
[9] United Nations Children's Fund, *Conflict Sensitivity and Peacebuilding Programming Guide*, UNICEF, November 2016, available at <http://s3.amazonaws.com/inee-assets/resources/Programming_Guide_-_Conflict_Sensitivity_and_Peacebuilding__UNICEF_Nov_2016.pdf>, accessed 17 February 2018.

BOX 1 - UNDERSTANDING THE RELATIONSHIP BETWEEN THE GRIP RISK ANALYSIS AND ELEMENTS OF CONFLICT ANALYSIS

This box describes how the main elements of a conflict analysis can also be considered within the framework of the GRIP risk analysis.

1. *Stakeholder analysis* provides an understanding of key actors and their perspectives, needs and interactions with one another in the conflict context. **A stakeholder analysis may also be included under the 'capacities' element of the broader risk analysis.**
2. *Conflict dynamics* is about understanding the 'pulse' of a conflict context. It looks at patterns and forces that divide or connect social groups – with consideration of gender, identity, geography, age, etc. 'Dividers and connectors' could be groups, processes, mechanisms, practices, policies and institutions with the capacity to divide or connect people. **Conflict dynamics may also be looked at as an aspect of the 'capacities' and 'vulnerabilities' elements of the broader risk analysis.**
3. *Root and proximate causes* require careful consideration. Root causes are the underlying socio-economic, cultural and institutional factors (e.g., poor governance, systematic discrimination, lack of political participation, unequal economic opportunity) that create the conditions for destructive conflict and violence. Proximate causes contribute to the escalation of tensions and help to create an enabling environment for violence (e.g., human rights abuses, worsening economic conditions, divisive rhetoric, drought aggravating competition over pasture and water). **Root and proximate causes may also be looked at as aspects of the 'capacities' and 'vulnerabilities' elements of the broader risk analysis.**
4. *Triggers* are sudden or acute events that 'trigger' destructive conflict and violence. When working in a conflict context, it is critical to be aware of the potential triggers (e.g., an election, a sudden rise in food prices, a military coup, the assassination of a leader) that can contribute to the outbreak or further escalation of tensions and violent conflict. **Triggers are closely linked to the 'likelihood' and 'exposure' elements of the broader risk analysis and may be looked at as part of these elements.**
4. *Peace capacities* are institutions, groups, traditions, events, rituals, processes and people that are well positioned and equipped to address conflict constructively and build peace (e.g., a reform programme, a civil society commitment to peace, ritualized and traditional dispute resolution). **Peace capacities may be looked as an aspect of the 'capacities' element of the broader risk analysis.**

CLIMATE LANDSCAPE ANALYSIS FOR CHILDREN

Countries or areas facing major risks associated with climate change should consider the methodology of the climate landscape analysis for children (CLAC).[10] This approach is not a risk analysis, but it can help multi-stakeholder teams to consider the overall climate, environment and energy (CEE) landscape (in terms of data, policy, programming, gaps, actors, etc.) and how it relates to children and UNICEF results so that priority areas for further analysis and integration may be identified.

METHOD

There are five basic steps to CLAC: a review of the CEE situation in country; an analysis of government responses to the CEE situation; an analysis of the impacts of CEE issues on children; an analysis of child-inclusive CEE policies, strategies and programming; and a discussion of how UNICEF country programmes can strengthen the CEE programming environment for children.

CONSIDERATIONS

Although climate-related shocks and stresses pose risks to children, CLAC takes a wider perspective than a risk analysis to consider opportunities for programming beyond the frame of risk reduction. It is therefore complementary to, but not a substitute for, GRIP risk analysis, which considers climate-related phenomena alongside other shocks and stresses in the environment.

[10] United Nations Children's Fund, *Guidance Note: How to undertake a Climate Landscape Analysis for Children (CLAC)*, UNICEF, (n.d.), accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/:w:/r/teams/Communities/ESC/_layouts/15/WopiFrame.aspx?sourcedoc=%7b3EFA2F61-58F3-4147-8ADB-5DFECA6BAB22%7d&file=Climate Landscape Analysis for Children_Guidance.docx&action=default>, accessed 8 March 2018.

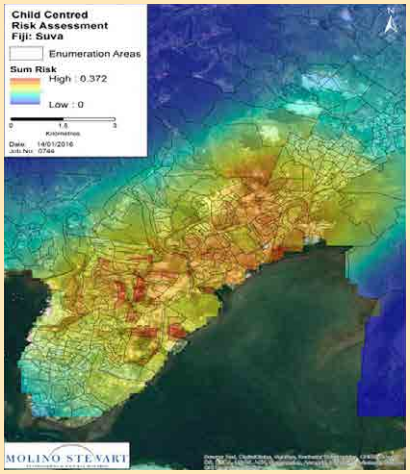
RESOURCES

CLAC was piloted in 2017 in Timor-Leste, Malawi, the Philippines, Turkmenistan and Kyrgyzstan. For guidance and links to these examples, visit the Climate Landscape Analysis Sharepoint Site.[11]

BOX 2 - EXAMPLES OF COMPLEMENTARY APPROACHES IN ACTION

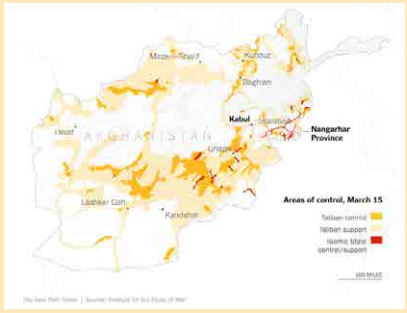
Spatial risk assessment
Pacific, multi-country, 2015–2017

In 2016, UNICEF Pacific worked with a private sector firm to develop child-centred spatial risk assessments for nine Pacific Island countries. The findings of the assessments were integrated into the country-specific situation analyses and contributed to discussions at the strategic moment of reflection, informing the new multi-country programme. The spatial risk assessments also supported the water, sanitation and hygiene (WASH) sector to better target its investments to reach those islands and areas that were not only deprived of adequate WASH facilities, but are also highly exposed to a variety of climate change and disaster-related hazards.



Conflict analysis
Afghanistan, 2017

UNICEF conducted an analysis of conflict dynamics for Afghanistan to inform programme strategies, the mid-term review and the development of the new country programme for 2020–2024. The report presented a range of recommendations to improve conflict sensitivity and peacebuilding in programming as well as to support a shift from a mainly development approach to a humanitarian approach focused on reaching the most in need and vulnerable children living in areas not controlled by the government. The analysis considered key stakeholders and conflict drivers as well as current and projected conflict trends.



Climate landscape analysis for children
Timor-Leste, 2017

UNICEF Timor-Leste together with UNICEF Headquarters (Data, Research and Policy division) commissioned a climate landscape analysis for children in 2017. It provided the essential baseline information on climate, environment and energy issues affecting children and offers recommendations to the country office on how to incorporate the most important issues and opportunities in the new country programme.

[11] The Climate Landscape Analysis SharePoint site is available to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/ESC/SitePages/Climate Landscape Analysis for Children.aspx>, accessed 8 March 2018.

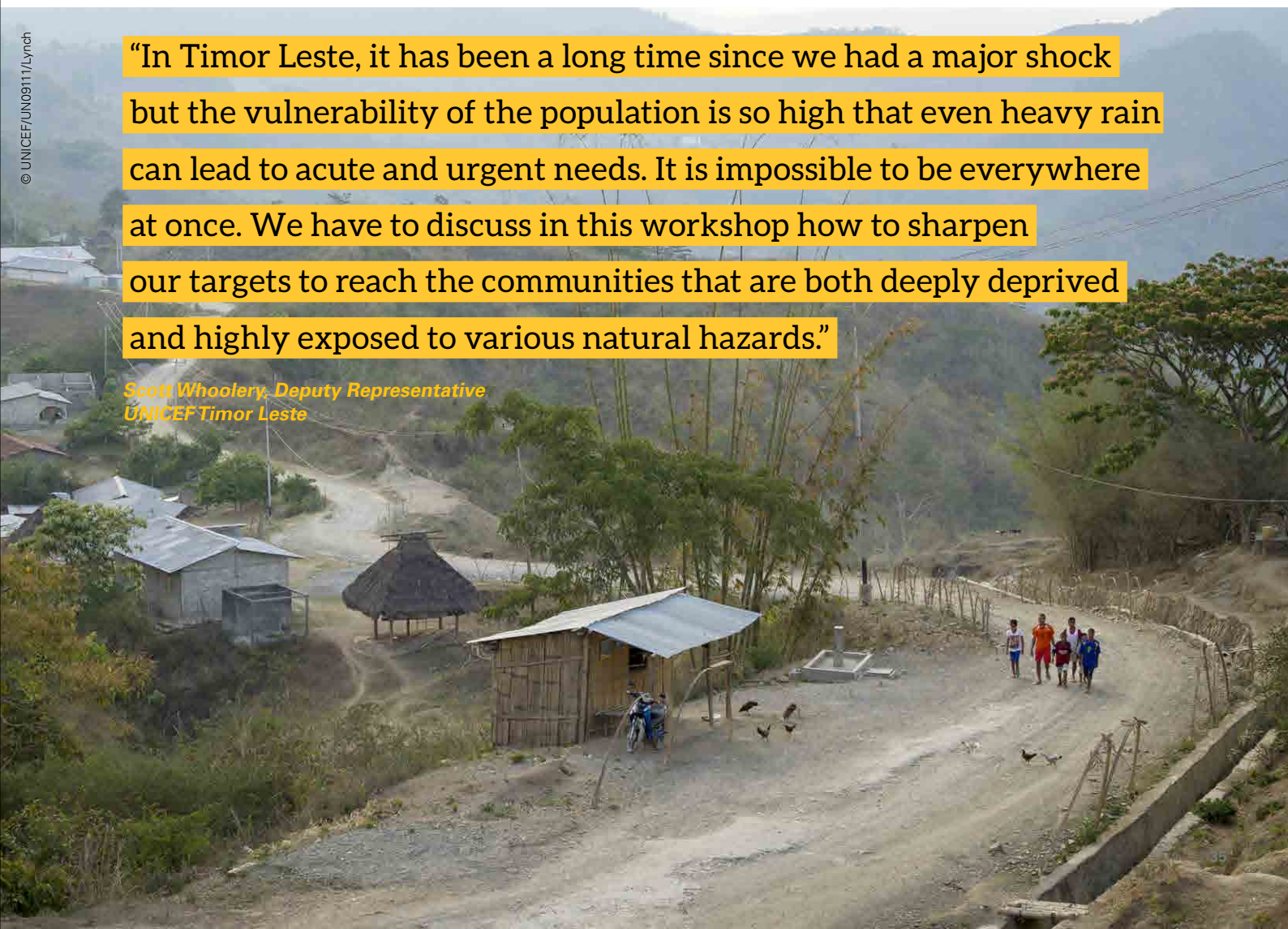
1.5 HOW CAN A GRIP WORKSHOP SUPPORT THE PROCESS?

A GRIP workshop is a flexible, participatory-style workshop tailor-made to support UNICEF country offices and their national counterparts and partners to consider how risk can affect children, their caregivers and their communities. (For examples of GRIP workshops hosted by UNICEF country offices, see ***GRIP Module No. 1, Map 1***).

It can be particularly useful to hold a GRIP workshop during the process of developing a risk analysis as it can help a multi-stakeholder group to:

- understand the importance of risk analysis and the role it can play in advancing risk-informed programming and the 2030 Agenda for Sustainable Development
- validate the findings of a risk assessment by determining collectively whether the statistics and methods used were accurate and credible given the context
- apply the conceptual frameworks of a human rights-based approach to programming and gender equality strategies, thus improving the collective understanding of why risks are occurring, how they exacerbate existing inequities, who is responsible for addressing them, and what capacities these actors have or lack in this regard
- identify implications for collective child rights programming (see ***GRIP Module No. 3***)
- rank the risks related to various shocks and stresses, thus providing a basis for the consideration of hazard-specific preparedness measures and the requirements of the UNICEF Procedure on Preparedness for Emergency Response and the Emergency Preparedness Platform.

UNICEF regional office planning and emergency advisers, in cooperation with HATIS in Programme Division, can support country offices to consider if, how and when a GRIP workshop may be useful.



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"In Timor Leste, it has been a long time since we had a major shock but the vulnerability of the population is so high that even heavy rain can lead to acute and urgent needs. It is impossible to be everywhere at once. We have to discuss in this workshop how to sharpen our targets to reach the communities that are both deeply deprived and highly exposed to various natural hazards."

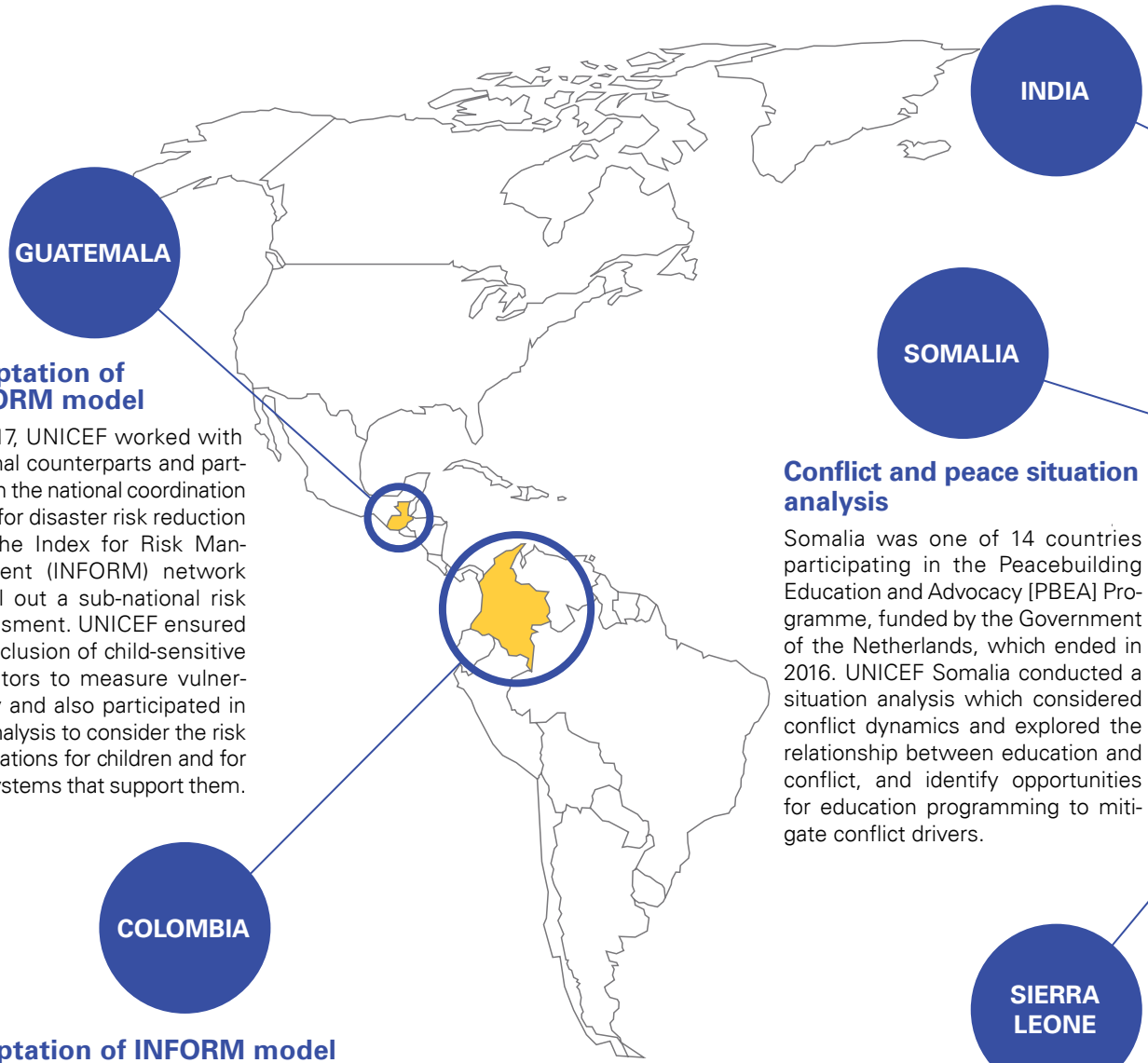
Scott Whoolery, Deputy Representative
UNICEF Timor Leste

GLOBAL EXPERIENCE

in child-sensitive risk assessment and analysis

Various methods, with innovative time series analysis

UNICEF India has introduced several child-centred spatial risk assessments in selected states and regions. In 2013, the UNICEF Rajasthan State Office decided to innovate by monitoring changes in risks over time so that the impact of slower-onset stresses could be better understood. The team collected monthly data to trace the correlation between school attendance and rainfall deficit, to identify whether the ongoing drought had an effect on children's behaviour during specific seasons of the year. This time series analysis confirmed devastating seasonal effects and helped to reshape the country programme in the worst affected districts.



Adaptation of INFORM model

In 2017, UNICEF worked with national counterparts and partners in the national coordination body for disaster risk reduction and the Index for Risk Management (INFORM) network to roll out a sub-national risk assessment. UNICEF ensured the inclusion of child-sensitive indicators to measure vulnerability and also participated in the analysis to consider the risk implications for children and for the systems that support them.

Conflict and peace situation analysis

Somalia was one of 14 countries participating in the Peacebuilding Education and Advocacy [PBEA] Programme, funded by the Government of the Netherlands, which ended in 2016. UNICEF Somalia conducted a situation analysis which considered conflict dynamics and explored the relationship between education and conflict, and identify opportunities for education programming to mitigate conflict drivers.

Adaptation of INFORM model

Since 2012, various actors in the international humanitarian community have been developing and making use of INFORM as a way to measure the risk of humanitarian crisis. In 2016 and 2017, UNICEF and the Colombian Family Welfare Institute jointly carried out the process of adapting the global and regional INFORM models to the specific context in Colombia, placing an emphasis on children and adolescents. This process resulted in the first sub-national risk assessment with municipal disaggregation to consider hazards, vulnerabilities, capacities and relative levels of risk of humanitarian crisis. This has become a model for other countries in the region.

Adolescents participation in Conflict Analysis

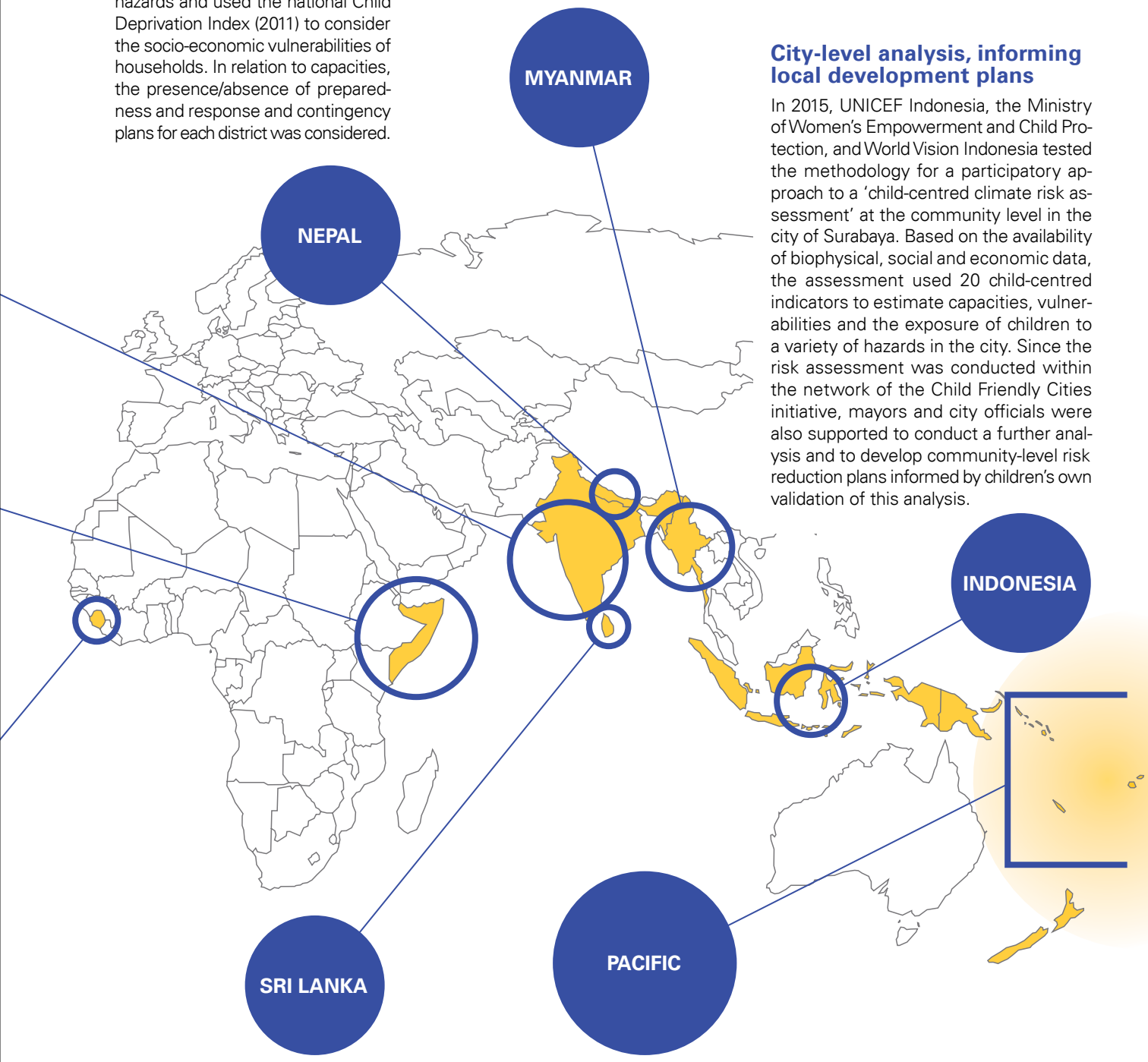
Girls and boys aged 12–19 years were mobilized through schools, youth clubs, mother's clubs and local NGOs to participate in workshops; focus group discussions and brainstorming sessions separate from adults. Issues identified as conflict drivers included lack of employment opportunities for youth; lack of inclusion in political processes; the inequalities in access to tertiary education; unjust distribution of land and concerns related to corporal punishment and poor parenting. Young participants highlighted their desire to realize their potential and feel a sense of belonging to the nation. UNICEF is now working with adolescents to engage parents, teachers and community members through drama and media advocacy.

Sub-national spatial risk assessment

In 2014, UNICEF Nepal completed a sub-national, child-centred spatial risk assessment, showing the relative distribution of the risk of humanitarian crisis by district. The work considered seven different hazards and used the national Child Deprivation Index (2011) to consider the socio-economic vulnerabilities of households. In relation to capacities, the presence/absence of preparedness and response and contingency plans for each district was considered.

National-level analysis, informing national development plans

In 2015, UNICEF Myanmar developed a proof-of-concept child-centred risk assessment that inspired the Ministry of Social Welfare, Relief and Resettlement to reconsider its national risk assessment methodology. Throughout the process, UNICEF and the Asian Disaster Preparedness Center (ADPC) emerged as the key partners to help the government deliver on Outcome 2.2 of the Myanmar Action Plan on Disaster Risk Reduction – the production of a hazard and vulnerability atlas. This atlas then informed the development of the country's first ever child-centred disaster risk reduction plan.



City-level analysis, informing local development plans

In 2015, UNICEF Indonesia, the Ministry of Women's Empowerment and Child Protection, and World Vision Indonesia tested the methodology for a participatory approach to a 'child-centred climate risk assessment' at the community level in the city of Surabaya. Based on the availability of biophysical, social and economic data, the assessment used 20 child-centred indicators to estimate capacities, vulnerabilities and the exposure of children to a variety of hazards in the city. Since the risk assessment was conducted within the network of the Child Friendly Cities initiative, mayors and city officials were also supported to conduct a further analysis and to develop community-level risk reduction plans informed by children's own validation of this analysis.

Peacebuilding Context Assessment

In 2016, the United Nations commissioned a Peacebuilding Context Assessment to inform the development of a peacebuilding programme in Sri Lanka. The report analyses the contemporary challenges and opportunities with respect to peacebuilding in Sri Lanka in terms of four broad areas: politics and governance, economy, security and reconciliation. The report was intended to inform the development of the national Peacebuilding Priority Plan.

Multi-country risk assessments

In 2016, UNICEF Pacific worked with a private sector firm to develop child-centred spatial risk assessments for seven Pacific Island countries. The findings of the assessments were integrated into the country-specific situation analyses and contributed to discussions at the strategic moment of reflection, informing the new multi-country programme. The spatial risk assessments also supported the water, sanitation and hygiene (WASH) sector to better target its investments to reach those islands and areas that were not only deprived of adequate WASH facilities, but are also highly exposed to a variety of climate- and disaster-related hazards.

2. PREPARATION PHASE

Preparation and design constitute the most important phase of any project. In the case of child-centred risk analysis, failure to correctly identify its strategic purpose and participants at the outset can cause the analysis to lack credibility and diminish its potential influence and use. This section outlines the main considerations for UNICEF country offices to bear in mind when designing a child-centred risk analysis.

2.1. SETTING THE STRATEGIC PURPOSE

The first step in any analysis is to determine its strategic purpose. Deciding why to elaborate a study helps to define its scope, secure the right participants, select the appropriate methodology, source and manage the data, and correctly estimate the technical and financial resources required for its completion. The terms of reference for a risk analysis should ideally include a clear statement of purpose.

The main reasons to conduct a risk analysis include:

- **Increasing the national evidence base on risks facing children**. A child-centred risk analysis, particularly when integrated into a SitAn, can help stakeholders to identify not only the areas where children are most deprived, but also those in which they are disproportionately exposed to various shocks and stresses. This can help to advance national research on children and to inform the development of national policies and plans.
- **To further national understanding of equity, gender and age considerations**, by ensuring the disaggregation of data and that equity and gender equality analysis of the impacts of specific risks on women and men, and girls and boys is conducted. This involves going beyond the gender binary (female/male) to examine the intersecting considerations of age, disability, rural/urban location, socio-economic status and ethnicity, to understand the core drivers of vulnerability and the characteristics of resilience within communities.
- **Influencing national or inter-agency risk assessment methodologies.** UNICEF may develop a child-centred risk analysis as a proof-of-concept study to help major stakeholders understand the importance of integrating children's special needs, vulnerabilities and capacities into national assessment methodologies.
- **Informing the UNICEF country programming cycle.** UNICEF typically develops a new Country Programme of Cooperation with each national counterpart every five years. A child-centred risk analysis can complement the traditional analysis of inequities and help to sharpen the 'risk lens' in discussions around geographical prioritization, formulation of results, and selection of appropriate strategies.
- **Informing emergency preparedness planning.** UNICEF country offices complete a four-step preparedness planning process annually to prepare responses to the priority risks in the programming environment. Completing a GRIP risk analysis will help a country office to better rank the risks associated with specific hazards and to develop its risk analysis for the Emergency Preparedness Platform.
- **Informing humanitarian action.** Many countries are characterized by extreme fragility and chronic vulnerability to the impacts of shocks and stresses. Humanitarian action often focuses, however, on those places where there are acute and immediate needs rather than where there are vulnerabilities and risks. Conducting a risk analysis can help humanitarian actors to proactively strengthen the resilience of communities at risk, which is critical in complex and protracted crises.

2.2. CONFIRMING RISK RATING AND SCOPE

How much to invest in a child-centred risk analysis depends on many factors, including its strategic purpose and the available capacities and resources. The greater the risks faced by a country, the higher the stakes for risk-informed programming. Generally, the depth of risk analysis should be commensurate with the level of risk that a country manages.

Senior management in the UNICEF country office should confirm the country's risk rating using internationally credible indices and allow the rating to inform decisions on the use of optional 'deeper' methods for assessment and analysis (such as those described in section 1.4). For example, the *Technical Note: Emergency Risk Informed Situation Analysis* suggests that high-risk countries should conduct a spatial risk assessment or 'child-centred risk mapping' to estimate the spatial distribution of risk.

The Index for Risk Management (INFORM), the Global Peace Index and the World Bank Group's Harmonized List of Fragile Situations are three very different models, each with its own distinct methodology – but all three are useful in determining how countries rank relative to one another in terms of risk, peace and fragility (see **Table 1**). Together, they provide a holistic look at the risk of humanitarian crisis triggered by natural, climate-related and human hazards (including conflict). (For a full list of complementary models that provide country risk ratings, see ***Annex 1***).

Table 1 - Determining a country's risk rating and the depth of risk analysis required

Risk index	Description of risk index	Recommendation for depth
Index for Risk Management (INFORM)[12]	INFORM is a global tool for understanding the risk of humanitarian crises, which has been produced by the members of the Inter-Agency Standing Committee's Task Team on Preparedness and Resilience, including UNICEF. Regional and country models are also available.	Teams working in countries, states and territories ranked as high risk on the INFORM global or regional models may consider conducting a spatial risk assessment or 'child-centred risk mapping'.
Global Peace Index[13]	The Global Peace Index ranks 163 independent states and territories according to their level of peacefulness. Produced by the Institute for Economics and Peace, the index uses 23 indicators to measure peace in three domains: Societal Safety and Security; Ongoing Domestic and International Conflict; and degree of Militarization.	It is recommended that teams working in countries, states and territories that score 2 or more in the Ongoing Domestic and International Conflict domain conduct a more in-depth analysis using the UNICEF *Guide to Conflict Analysis*.
World Bank Group's Harmonized List of Fragile Situations[14]	The World Bank Group's Fragile, Conflict and Violence Group annually releases a Harmonized List of Fragile Situations. This recognizes that violence, humanitarian crisis and other challenges cannot be resolved with short-term or partial solutions in the absence of institutions that provide people with security, justice, and economic opportunities.	Teams working in countries, states and territories on the list may consider more in-depth conflict analysis, having first consulted the UNICEF Programming Framework for Fragile Contexts[15] and the UNICEF *Conflict Sensitivity and Peacebuilding Programming Guide*.

2.3. ACCOUNTABILITIES AND MANAGEMENT STRUCTURES

UNICEF country representatives, regional directors and divisional directors are accountable for the overall quality of research in the offices/divisions that they oversee. Depending on its depth and duration, a 'risk-informed SitAn' can be classified as either 'major research' or 'research' according the UNICEF Procedure for Quality Assurance in Research[16] and should therefore be managed by senior management (or a designated manager of research) and have an internal steering committee and an external advisory board (ideally co-chaired by the UNICEF Representative and a counterpart from a national ministry).[17]

A child-centred risk analysis that is de-linked from the UNICEF SitAn may be considered 'research' or a 'study' depending on its purpose, scope and depth, and can be developed in line with the Procedure for Quality Assurance in Research[18] Senior management should consider classifying the research, integrating it into the country office integrated monitoring, evaluation and research plan or database (IMERP or PRIME) and adapting management and

[12] Inter-Agency Standing Committee/European Commission, Index for Risk Management (INFORM), <www.inform-index.org>, accessed 8 March 2017.
[13] Vision of Humanity, 'Global Peace Index 2017', Institute for Economics and Peace, 2017, <http://visionofhumanity.org/indexes/global-peace-index/>, accessed 8 March 2018.
[14] World Bank, 'Harmonized List of Fragile Situations', World Bank Group, 2018, <www.worldbank.org/en/topic/fragilityconflictviolence/brief/harmonized-list-of-fragile-situations>, accessed 8 March 2018.
[15] United Nations Children's Fund, Division of Data Research and Policy, UNICEF Procedure for Quality Assurance in Research, CF/PD/DRP/2015-002, Effective date 1 April 2015, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OoR/SiteAssets/SitePages/Procedures/UNICEF Procedure for Quality Assurance in Research.pdf>, accessed 8 March 2018.
[16] The UNICEF Procedure for Quality Assurance in Research suggests that this steering committee should be chaired by the UNICEF Deputy Representative or an individual with sound research experience (e.g., a social policy or monitoring and evaluation specialist at the P4/L4 or P3/L3 level) and include two programme staff with research experience and a programme assistant responsible for administration. For the suggested qualifications and competencies of a manager of research, see Annex D of the Guidelines.
[17] The UNICEF Procedure for Quality Assurance in Research suggests that this steering committee should be chaired by the UNICEF Deputy Representative or an individual with sound research experience (e.g., a social policy or monitoring and evaluation specialist at the P4/L4 or P3/L3 level) and include two programme staff with research experience and a programme assistant responsible for administration. For the suggested qualifications and competencies of a manager of research, see Annex D of the Guidelines.
[18] For a more elaborate definition of what constitutes 'studies' or 'research', see: United Nations Children's Fund, Taxonomy for Defining and Classifying UNICEF Research, Evaluation and Studies, UNICEF, accessible to UNICEF staff and consultants at <https://icon.unicef.org/apps02/cop/edb/SiteAssets/SitePages/Home/Taxonomy%20Version%202_%20September%202014.pdf>, accessed 8 March 2018.

coordination mechanisms as required. According to the UNICEF Procedure on Preparedness for Emergency Response, country representatives ensure that their offices complete a four-step preparedness planning process every year, with the first step a risk analysis. The GRIP risk analysis – which is more robust than other analyses and is prepared once per country programming cycle – therefore provides an ideal basis for this annual review and update.

2.4. PARTICIPATION OF CHILD RIGHTS STAKEHOLDERS

To maximize its credibility, influence and use, the child-centred risk analysis should be conducted with the participation of national counterparts and all relevant child rights stakeholders. Lessons learned from previous risk analyses suggest that UNICEF can be most effective when partnering with a national ministry that acts as an internal 'champion' or 'convener' for the effort, contributing to the design of the analysis, the mobilization of partners and the launch of the analysis. This convener may be the ministry of planning, the national statistics office and/or the national disaster management agency, depending on existing relationships and the strategic purpose of the risk analysis. It is understood that it may be challenging to adopt this approach in situations of extreme fragility or against a backdrop of contested governance. National counterparts and other major partners and stakeholders in the process may occupy a range of potential roles (see **Table 2**). Engaging with women, children, adolescents and youth in communities at risk may require consideration of Communication for Development (C4D) (see **Box 3**).

Table 2 - Participants in risk analysis and their roles

Stakeholder	1. PREPARATION	2. ASSESSMENT	3. ANALYSIS	4. VALIDATION
National convening agency	**Co-chair** or member of steering committee	**Invite** various ministries and institutions to contribute relevant data, information and analysis	**Convene** consultation workshops	**Convene** validation workshops and invite national counterparts **Approve, launch and disseminate** the analysis with UNICEF
Other national counterparts (line ministries, local authorities)	**Contribute** to the design of the analysis, depending on the strategic purpose	**Share** relevant survey or administrative data for assessment	**Participate** in consultation workshops **Contribute** to causality analysis and capacity gap analysis	**Participate** in validation workshops Potentially maintain databases and products
Major development partners	**Contribute** to defining the strategic purpose and methodology	**Review** terms of reference and first drafts of assessment products		**Participate** in validation workshops **Support** dissemination of the analysis to the assistance community
Academic institutions	**Contribute** to preparation, depending on the nature of the partnership	**Develop** methodology with UNICEF, gather data, conduct assessment		**Participate** in validation workshops **Support** dissemination of the analysis in journals and its use in academic settings
Civil society and other child rights stakeholders	**Contribute** to preparation, depending on the nature of the partnership	**Participate** in assessment, depending on the nature of the partnership		**Support** dissemination of the analysis and its application in the delivery of programmes for children
Children and adolescents	Flexible: Potential engagement with youth groups and organizations	Flexible: Consider use of innovations such as U-Report for data collection	Flexible: Potential focus group discussion	Flexible: Validation of the analysis and main findings (using child-friendly communication methods)
Formal and informal women's organizations	**Review** national research, including Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) reporting and shadow reports of women's rights organizations	**Participate** in both identifying specific risks and ensuring gender balance in assessment teams		**Participate** in validation workshops **Contribute** to advocacy with national partners and for the reform of policies and programmes

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BOX 3 - PARTICIPATION OF COMMUNITIES AT RISK: THE ROLE OF COMMUNICATION FOR DEVELOPMENT

Communication for Development (C4D) – a systematic, planned and evidence-based process to promote positive and measurable individual behaviour and social change – is an integral part of development programmes and humanitarian work. C4D approaches are also important during risk analysis, to communicate effectively with vulnerable or marginalized communities and groups, to ensure their meaningful participation in risk assessments and analysis, and to encourage their investment in the outcomes for planning and programming. Communities are, after all, the drivers of their own preparedness, response and recovery efforts.

But C4D is more than simply a method for encouraging the participation of at-risk communities, and it is important that the risk assessment and analysis include consideration of the social and behavioural dimensions of risk. This means considering: the existing levels of knowledge on important life skills in the community, applying a 'gender lens'; the behaviours that are increasing risks; and the existing social norms that affect such behaviours. It also means considering how at-risk and affected populations are sharing and receiving information and if certain vulnerable groups are excluded. Paying attention to such C4D considerations will support the identification of priorities for behaviour change and improved communication measures that can support preparedness, crisis management and recovery.

2.5. ESTIMATION OF RESOURCES REQUIRED

Without an accurate estimation of the time, technical expertise and financial resources needed to conduct a risk analysis, the process is likely to remain internal, unfinished and/or unused. UNICEF country offices should define the strategic purpose and methodology of the analysis before estimating the financial and technical resources required. The main considerations when budgeting for a risk analysis are highlighted below (see **Table 3**).

Table 3 - Considerations for the estimation of time and technical and financial resources required

Phase	Internal staff requirements	Specialist expertise	Estimated time required
1. PREPARATION	Dedicated specialist to develop and adapt terms of reference Senior management investment to set strategic purpose, approve terms of reference and establish governance mechanisms	No specific services or applications necessary	1 week
2. ASSESSMENT **Child-centred narrative risk assessment**	Desk review of available secondary data sources by specialists Technical sections to review methods and contribute data and information	Potential contracting of external experts to develop the narrative Standard software for desktop publishing	1–4 weeks to elaborate the narrative report
Higher-risk countries: Child-centred risk mapping	Specialist to identify data sources and manage spatial assessments and/or manage service provider Technical sections to review methods and contribute data and information	Potential contracting of external technical experts to conduct spatial risk assessment Geographic information system and/or other database required	1–2 months to complete a sub-national spatial risk assessment depending on data quality and availability and existing capacities in information management
3. ANALYSIS	Senior management investment to ensure that the design of the analysis is appropriate	Facilitators for consultation workshops Cost of two-day GRIP workshop and/or one-day consultation workshop (venue, conference services, accommodation, per diems, etc.)	1–2 weeks to prepare consultation workshops with partners 1–2 days for consultation or GRIP workshop
4. VALIDATION	Senior management to convene partners and peer review as well as approve the final draft Technical sections to validate the final product	Facilitators for validation workshops Validation workshop and/or launch with national counterparts Graphic design, copy-editing and printing costs	3 weeks for external peer review and final validation of analysis with partners 2 weeks to prepare launch materials/final report 1–2 days for validation workshop and/or launch

UNICEF has experience of working with external consultants skilled in developing risk analyses and has developed Long-term Arrangements for Services with institutions skilled in vulnerability and risk mapping. To find out about the resources available at the time of a risk analysis, view the Risk and Resilience, Fragility and Peacebuilding team site.[19]

[19] The Risk and Resilience, Fragility and Peacebuilding team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/RiskResilience-FragilityPeacebuilding/SitePages/Home2.aspx>, accessed 8 March 2018.

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3. ASSESSMENT PHASE

The GRIP narrative risk assessment uses the United Nations Office for Disaster Risk Reduction (UNISDR) risk formula described in Module No. 1 and a simplified variation to develop a national-level overview of the risks associated with various shocks and stresses, their likelihood and potential severity, and how they might interact with existing vulnerabilities and capacities to increase the risk of humanitarian crisis affecting children (see **Box 4**).

A good assessment will consider the patterns, severity and trends associated with these risks. Later in the process, during the analysis phase stakeholders will analyse **why** shocks and stresses lead to crisis, deepening deprivations or an erosion of development progress, **who** is responsible for reducing risks and **what** capacities these actors need to enable them to do so.

The GRIP methodology for risk assessment has been developed to facilitate discussion among government and social service providers, key child rights stakeholders and UNICEF country offices. It is therefore national in scope and qualitative in nature, and provides a simple method for analysing risk. The methodology was also developed to ensure alignment with the risk analysis requirements outlined in the UNICEF Procedure on Preparedness for Emergency Response and its associated *Guidance Note on Preparedness for Emergency Response in UNICEF*.[20] GRIP focuses, however, on risks that might manifest at any time in the country programming cycle rather than just in the following year, providing a planning horizon more appropriate for longer-term development planning.

The narrative risk assessment has three basic steps:

1 **Step 1 - Likelihood** Identifying shocks and stresses and considering their historical frequency and future trends to estimate the likelihood of their occurrence within the next four to five years.

2 **Step 2 - Impact** Determining the potential impacts of shocks and stresses, considering:

- **Patterns of exposure:** Review where shocks and stresses manifest geographically – and who and what can be affected within this catchment area.
- **Historical impacts and losses:** Record the impacts and losses associated with past events.
- **Vulnerabilities and capacities:** Review the characteristics that make children, women and households particularly susceptible to the negative impacts of a shock or stress, and the national capacities that can play a role in reducing, mitigating or managing these impacts.

3 **Step 3 - Risk** A method for prioritizing the risks associated with each shock and stress.

[20] United Nations Children's Fund, *Preparedness for Emergency Response in UNICEF: Guidance Note 2016*, UNICEF, December 2016, available at <www.unicef.org/emergencies/files/UNICEF_Preparedness_Guidance_Note_29_Dec__2016_.pdf>, accessed 13 March 2018.

BOX 4 - REFRESHER: THE RISK FORMULA

Various methods are used to estimate risk. Two distinct but complementary versions of the risk formula are presented here. To align with the UNICEF Procedure on Preparedness for Emergency Response, the GRIP risk assessment uses Version 2 but is informed by Version 1, as described below.

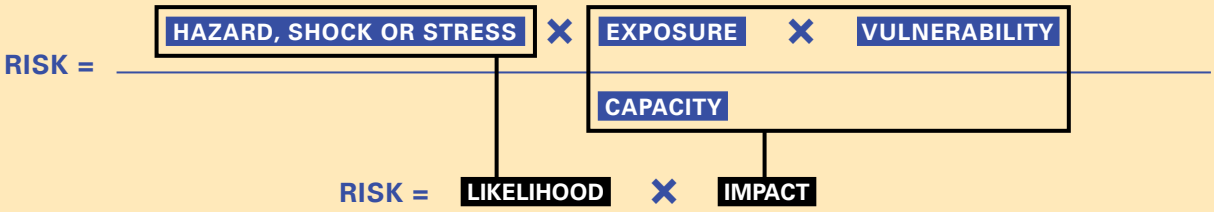
Version 1: The classic United Nations Office for Disaster Risk Reduction (UNISDR) risk formula suggests that risk is a product or result of the interaction between four separate variables.

$$\text{RISK} = \frac{\text{HAZARD, SHOCK OR STRESS} \times \text{EXPOSURE} \times \text{VULNERABILITY}}{\text{CAPACITY}}$$

Version 2: The most simplified version of the risk formula requires consideration of the likelihood and probable impact of various shocks and stresses. This method is ideal for participatory assessments conducted with multi-stakeholder groups since it reduces complexity.

$$\text{RISK} = \text{LIKELIHOOD} \times \text{PROBABLE IMPACT}$$

Relationship between the formulae: The 'impact' variable of Version 2 implicitly includes an analysis of historical patterns of exposure, impacts and losses and of the current status of vulnerabilities and capacities. The graphic below shows how exposure, vulnerability and capacity can be considered together as factors that contribute to the estimation of probable impact.



3.1. STEP 1: LIKELIHOOD 1

The first step of the narrative risk assessment is to identify the relevant shocks and stresses in the programming environment and then consider how likely each of these is to occur again within the next four to five years (i.e., during the country programming cycle) and, if relevant to planning, beyond this time frame (i.e., considering national planning frameworks). UNICEF country offices and child rights stakeholders then conclude this first step of the assessment by assigning a score to each shock or stress using the Inter-Agency Standing Committee (IASC) likelihood scale,[21] adjusted for use with this longer time frame (see **Table 4**).

Risk identification

The first task is to identify and list the shocks and stresses that can interact with vulnerabilities and capacities to trigger a humanitarian crisis (for clarification of the concepts, see **Box 5**; for an indicative list, see **Graphic 3**). UNICEF country offices and child rights stakeholders should use secondary sources to gather data and information on the historical frequency of the three to five most significant shocks and/or stresses recorded over the last 15 to 20 years, noting any significant trends. Data and information can be obtained from a variety of national databases and reports, including national climate and disaster risk analyses and plans. International databases and reports provide data for multiple countries (see ***Annex 1, Table 1***).

Assessing likelihood

Data gathered on the historical frequency of the three to five shocks and/or stresses should be used to estimate the likelihood of each occurring again within the next four to five years (or other agreed time frame). Use the likelihood scale to assign a score to each shock or stress (see **Table 4**). For risks related to conflict and fragility or other socio-economic dynamics, draw from the available third party analysis. An example of how to estimate the likelihood of various significant shocks and stresses is provided (see **Table 5**). UNICEF country offices and stakeholders can elaborate a similar table.

All stakeholders should consider the following:

- The method used to estimate likelihood may be sophisticated (e.g., requiring statistical analysis) or simple (e.g., the outcome of group discussions that note the frequency of events over a given number of years). It can also draw upon national and inter-agency ranking exercises conducted for the purpose of preparedness and contingency planning.
- It may be challenging or impossible to estimate the frequency of slower-onset stresses (e.g., civil unrest/conflict or sea level rise). In such cases, teams should assign a likelihood score having considered whether or not the cumulative effects of the stress are likely to reach a 'tipping point' that could lead to a rise in acute and urgent needs within the next four to five years (or other agreed time frame).
- In the case of civil unrest or conflict, existing root or proximate causes can lead to escalation following a 'trigger' event. The UNICEF *Guide to Conflict Analysis* defines triggers as sudden or acute events (e.g., an election, a sudden rise in food prices, a military coup, the assassination of a leader) that can contribute to the outbreak or further escalation of tensions and violent conflict. In such cases, teams should note the likelihood of potential triggers occurring within the agreed time frame.

Table 4 - Likelihood scale (adapted from the *IASC Emergency Response Preparedness guidance*)

LIKELIHOOD SCORES				
Very unlikely (1)	**Unlikely (2)**	**Moderately likely (3)**	**Likely (4)**	**Very likely (5)**
A remote chance (less than 5%) of an event occurring in the current programming cycle (4–5 years) E.g., Hazards that have happened once or less in the last 20 years	The event has a low chance (5–15%) of occurring in the current programming cycle (4–5 years) E.g., Hazards that have happened one to three times in the last 20 years	The event has a viable chance (15–30%) of occurring in the current programming cycle (4–5 years) E.g., Hazards that have happened two or three times in the last 10 years, or once or twice in the last 5 years	The event has a significant chance (30–50%) of occurring in the current programming cycle (4–5 years) E.g., Hazards that have happened every second or third year, e.g., twice in the last 5 years	The event has a good chance (more than 50%) of occurring E.g., Hazards that have happened three or more times in the last 5 years, or five or more times in the last 10 years

[21] Inter-Agency Standing Committee, *Emergency Response Preparedness (ERP), Risk analysis and monitoring, minimum preparedness, advanced preparedness and contingency planning*, Draft for field testing, IASC, July 2015, available at <www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/emergency_response_preparedness_2015_final_2.pdf>, accessed 13 March 2018.

BOX 5 - CONCEPTS OF SHOCKS AND STRESSES

Before beginning Step 1, it may be useful to clarify certain aspects of what is meant by 'shocks' and 'stresses':

- Many events and phenomena can cause harm to or negative impacts on the lives of children and women. What the risk assessment of GRIP Module No. 2 is particularly concerned with, however, is the risk of humanitarian crisis, given its important role in informing national capacity building for emergency preparedness. The analysis phase and the sector-specific GRIP Module Nos. 5–11 provide supplementary information on how to consider the risks that might lead to the deepening of deprivation or an erosion of development progress in each sector.

  Since the GRIP module no. 2 risk assessment is primarily concerned with assessing the likelihood of humanitarian crisis, it focuses on identifying larger external shocks and stresses (sometimes referred to as 'contextual risks'), which are both: beyond the control of households and have the potential to overwhelm them and local or national response capacities; and trigger a declaration of crisis and/or lead to the rise of acute and urgent needs. As such, the narrative risk assessment usually excludes smaller shocks and stresses to children that originate at the household level (e.g., poor parenting, domestic abuse, substance abuse) or at the facility level (e.g., gender-based violence in schools), although these can clearly lead to the deepening of deprivation for children and an erosion of development progress in the community. (However the GRIP sector-specific modules consider a wider range of shocks and stresses and multi-stakeholder teams should feel free to adapt the methods to incorporate those hazards that they perceive as most significant.)

- These larger external shocks and stresses may emerge from multiple and often overlapping sources, which are generally classified as natural phenomena, climate-related phenomena, and 'man-made' or technological shocks and stresses. The United Nations Office for Disaster Risk Reduction (UNISDR) has also defined a terminology and classification system for hazards, which UNICEF country offices may find useful.[22] An overview is presented of some of the more relevant categories, including those stresses that accelerate climate-related hazards such as deforestation and soil erosion (see **Graphic 3**). They are listed here not only as factors that contribute to larger events and phenomena, but also as stresses that can themselves lead to increased deprivation and inequity for children. UNICEF country offices and stakeholders can use these categories as inspiration, but as the situation in every country will be different, teams are free to innovate by considering the events and trends most significant to their own risk analysis.

- When considering the likelihood of a major shock or stress, it is often useful to consider the likelihood of a severe event or trend versus a less severe phenomenon.[23] This is done in scenario planning, but it can also be considered by looking at the historical patterns of the severity or strength of a particular hazard. For example, some shocks and stresses have a specific scale of measurement used to capture the intensity or magnitude of the hazard itself – e.g., the Modified Mercalli Intensity Scale for earthquakes,[24] and the Saffir-Simpson Hurricane Wind Scale for cyclone wind.[25] These scales are not directly related to the concepts of exposure or impact, as they do not measure the size of the hazard zone or the impacts of the hazard, which can vary depending on vulnerabilities and capacities. The severity of the impact of other hazards such as drought is measured directly, however, using damage or impact scales in which direct counts provide a sense of severity (e.g., number of people affected).

[22] United Nations Office for Disaster Risk Reduction, 'Terminology on disaster risk reduction', UNISDR, Geneva, 2 February 2017, <www.unisdr.org/we/inform/terminology>, accessed 18 February 2018.
[23] Terminology for this concept differs by approach, with the terms 'severity', 'magnitude', 'intensity' or even 'seriousness' being employed (and with 'risk seriousness' noted in the UNICEF enterprise risk management approach to risk analysis).
[24] USGS Earthquake Hazards Program, 'The Modified Mercalli Intensity Scale', USGS, <https://earthquake.usgs.gov/learn/topics/mercalli.php>, accessed 18 February 2018.
[25] National Hurricane Center, 'Saffir-Simpson Hurricane Wind Scale', NHC, Miami, <www.nhc.noaa.gov/aboutsshws.php>, accessed 18 February 2018.

Graphic 3 - Potential shocks and stresses, listed by category

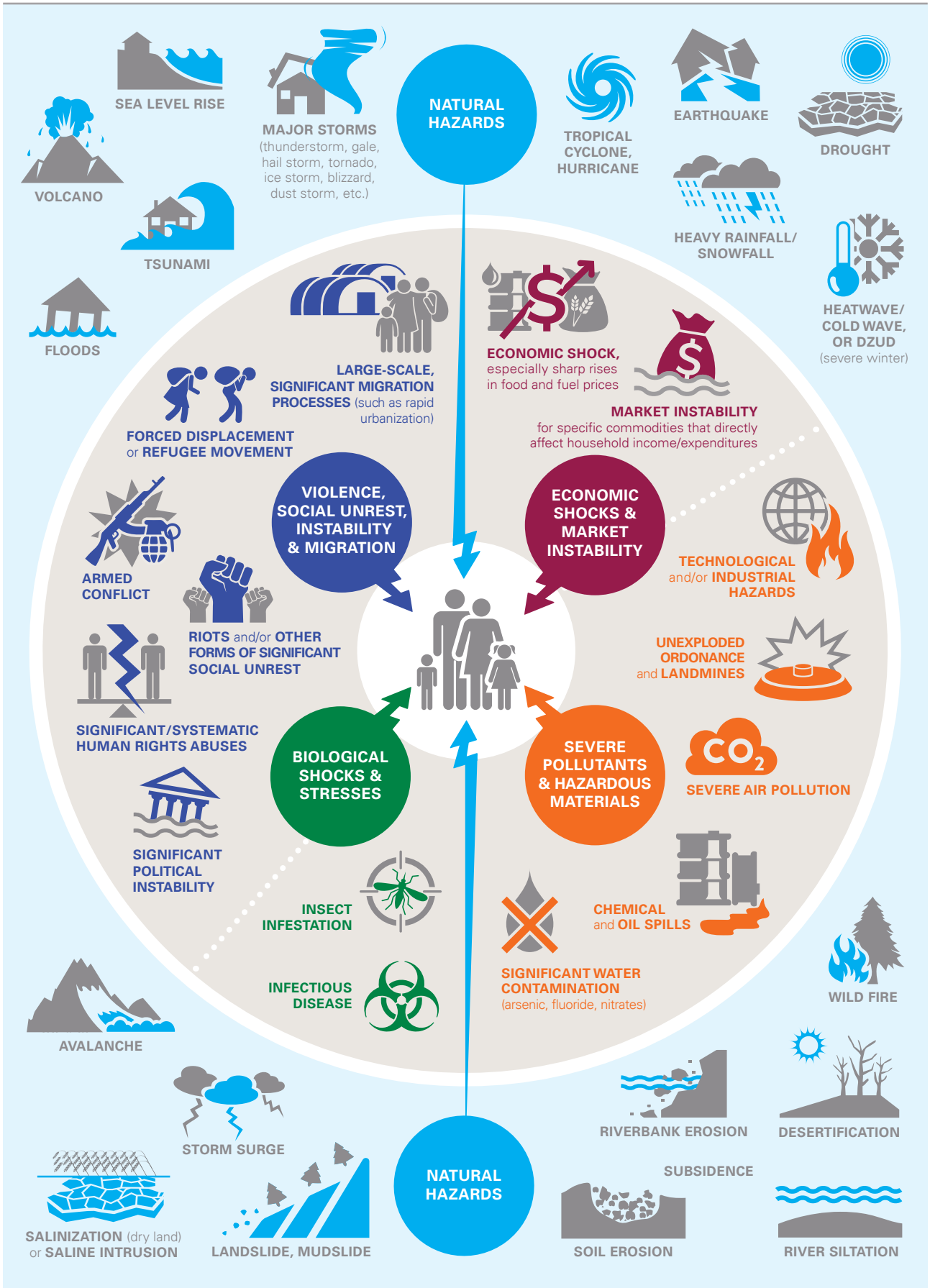


Table 5 - Example: Likelihood of three shocks/stresses occurring in Chad

Shock/stress	Historical data on frequency and future trends	Likelihood score
Drought	According to EM-DAT, the International Disaster Database, there have been five major drought incidents in Chad since 1995. Based on this limited data, drought appears moderately likely, with a more than 20% chance of occurring in the next year. Evidence suggests that there may be an upward trend in drought incidents due to rising temperatures and increasing aridity caused by climate change.[26] Since the mid-1900s, temperatures in Chad have been increasing while rainfall is decreasing.[27] For example, Lake Chad's "surface area in the past 50 years has been reduced from its initial 25,000 km2 to less than 2,500 km^2". [28] Chad was ranked as the country most vulnerable to the effects of global warming in a 2016 index compiled by risk consultancy Verisk Maplecroft.[29] The annual ranking considers both exposure and a state's capacity to respond.	3 - Moderately likely
Flood	According to EM-DAT, there have been 10 major riverine floods in Chad since 1995 and 2 flash floods. Localized flooding occurs every year during the rainy season but varies in magnitude. Increasing deforestation, urbanization and aridity all have an effect on drainage/absorption capacities. This may contribute to the increasing severity of flood events (the worst incident in 40 years occurred in 2016), but there are insufficient data to suggest an increase in their frequency.	4 - Likely
Armed conflict	The Global Peace Index ranks Chad in the 'low' category for global peace, showing that it faces persistent challenges to fostering a peaceful society.[30] The country has experienced some form of conflict or civil war during 35 of the 57 years since it gained independence from France. According to the Heidelberg Institute for International Conflict Research *Conflict Barometer*,[31] the war between Boko Haram and the governments of Nigeria, Cameroon, Chad and the Niger continues. Since 2015, the Multinational Joint Task Force has been tasked with confining Boko Haram using military force. According to the *Conflict Barometer*, Chad has also wrestled since 1990 with a violent crisis over the national power struggle between the government led by President Idriss Déby and the Patriotic Salvation Movement and the opposition.	5 - Very Likely

3.2. STEP 2: IMPACT 2

Having identified the shocks and stresses most likely to occur, Step 2 of the narrative risk assessment involves estimating their probable impact. UNICEF country offices and child rights stakeholders should first consider the historical patterns of exposure followed by the historical impacts and losses associated with past events to provide an evidence base for the assessment. Multi-stakeholder teams should then review the vulnerabilities and capacities of individuals, households and communities that are likely to be affected by the shocks and stresses. Finally, teams should assign a score to the impact variable, referring to the adapted likelihood scale (see **Table 4**).

3.2.1. PATTERNS OF EXPOSURE

UNICEF country offices and stakeholders should list the geographical areas most exposed to the three to five shocks and/or stresses identified in Step 1, choosing the level of disaggregation which works best for their analysis,

[26] Terminology for this concept differs by approach, with the terms 'severity', 'magnitude', 'intensity' or even 'seriousness' being employed (and with 'risk seriousness' noted in the UNICEF enterprise risk management approach to risk analysis).
[27] Climate Hazards Group, 'Gallery: Chad', <http://chg.ucsb.edu/gallery/chad/images/index.html>, accessed 18 February 2018.
[28] African Development Bank Group, 'Lake Chad, a living example of the devastation climate change is wreaking on Africa', 3 December 2015, <www.afdb.org/en/news-and-events/lake-chad-a-living-example-of-the-devastation-climate-change-is-wreaking-on-africa-15129/>, accessed 18 February 2018.
[29] Verisk Maplecroft, 'Climate Change Vulnerability Index 2016', Infographic, ReliefWeb, 13 November 2015, available at < https://reliefweb.int/report/chad/climate-change-vulnerability-index-2016>, accessed 12 March 2018.
[30] Vision of Humanity, 'Global Peace Index 2017', Institute for Economics and Peace, 2017, <http://visionofhumanity.org/indexes/global-peace-index/>, accessed 8 March 2018.
[31] Heidelberg Institute for International Conflict Research, Conflict Barometer 2017, HIIK, Heidelberg, 2018, available at <https://hiik.de/konfliktbarometer/aktuelle-ausgabe/>, accessed 7 March 2018.

understanding that analysis depth and scope will vary between countries. Not all country offices will add a spatial dimension to the risk assessment, but information on where shocks and stresses have occurred historically is usually available in the form of hazard maps produced by national authorities and partners (see *Annex 1, Table 1*).

Although past patterns are a good indicator of future trends, many shocks and stresses are experiencing unprecedented variability due to factors such as population growth, environmental degradation and climate change. Multi-stakeholder teams should consider relevant trend analyses and note the potential for different (or additional) geographical areas to be affected in the future.

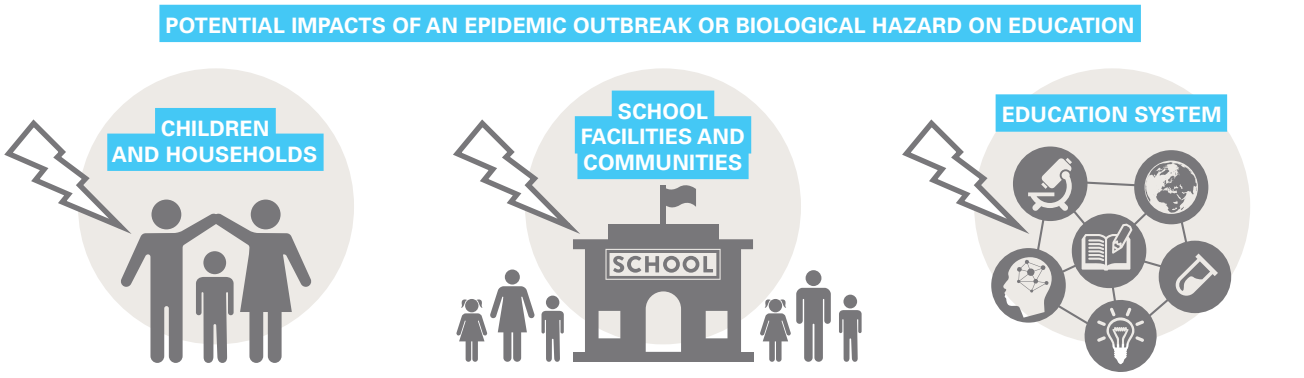
3.2.2. HISTORICAL IMPACTS AND LOSSES

Multi-stakeholder teams should gather data and information on the direct and indirect historical impacts and losses of the three to five shocks and/or stresses in focus, noting in particular any records of deaths, displacement, persons affected and/or economic losses associated with past events. The time frame under consideration should ideally be the same as for likelihood – i.e., the last 15 to 20 years.

To the greatest extent possible, teams should try to obtain disaggregated data on the impacts, so that the equity and gender dimensions of past crises can be better understood. Disaggregation of losses by gender, age, wealth quintile, location, ethnicity and health status or disability is critical to advancing our understanding of the real impact of crises on various groups in society.

Given that some impacts and losses are broader and further reaching than others that can be measured and recorded, teams may also wish to brainstorm and briefly record the potential impacts of each shock or stress on individuals and households, communities and/or systems (see **Box 6**). A simple illustration of this exercise, which is best considered sector by sector, is presented (see **Graphic 4**; see also ***GRIP Module No. 9***).

Graphic 4 - An example of brainstorming the potential impacts (application of 'gender lens' in blue)



BOX 6 - CONCEPTS OF EXPOSURE AND IMPACT

It may be important to clarify certain aspects of the concepts of 'exposure' and 'impact' before starting Step 2:

- Impact, for the purpose of the GRIP risk assessment can be defined as the effect of a crisis on people, infrastructure, systems, institutions and society. Losses are a measure of the damage or destruction caused. Direct losses due to conflict and natural disasters are often quantifiable measures expressed in either monetary terms (e.g., the market value or replacement value of lost or damaged physical assets) or as direct counts (e.g., the number of fatalities, injuries and/or people displaced and/or affected).

- GRIP also recognizes that some shocks and stresses can have destabilizing effects on national systems, supply chains and markets, creating indirect losses that may have a delayed onset and which may extend beyond the zone of physical exposure. Indirect impacts can also be psychological or psychosocial in nature, since trauma can affect the capacity of children and their caregivers to cope with additional stress in their environment. By their nature, indirect losses are harder to measure than losses stemming directly from physical damage. It is thus challenging to include indirect losses in quantitative or spatial risk assessments, but they can be explored freely in the qualitative risk assessment set out here.

- Since indirect losses are not always easily quantified and reported, it can be useful to brainstorm the potential impacts of shocks and stresses with the multi-stakeholder team – which is often best done according to sector. For instance, GRIP Module No. 9, for the education sector, provides examples of how each shock or stress may affect individual children and households, particularly those that are vulnerable; the school facility and community; and the education system. A simple illustration of this exercise presents the potential impacts of an epidemic or biological hazard on the education sector (see **Graphic 4**). This kind of brainstorming can be particularly useful when disaggregated data are unavailable, since an 'equity and gender lens' is easily applied.

- Exposure has been defined as the presence of people, property, livelihoods, service delivery systems or other elements in areas that can be affected by various shocks and stresses. The GRIP risk assessment is a narrative and it therefore uses a simplified concept of exposure, requesting a list of locations that may be affected, and in some cases a list of the key infrastructure and systems that support the survival and development of children within the area. UNICEF country offices that choose to conduct a spatial risk assessment or 'child-centred risk mapping' limit their analysis of exposure to a specific hazard zone: on this basis, where there is no exposure, there is no risk. The narrative risk assessment, however, enables teams to record indirect as well as direct impacts, both within and beyond the zone of immediate physical exposure. Teams will therefore be challenged to consider which areas are most exposed and how the impacts in these areas might be felt throughout the country.

- Several UNICEF country offices that have conducted a spatial risk assessment have focused directly on the child population, using a measure of population density per administrative area to represent exposure. This method has its benefits and drawbacks, the latter of which include associating high population density with higher risk. Country offices embarking on a spatial risk assessment should consider lessons learned from previous assessments such as the need to produce maps that both include and omit the exposure variable to enable the consideration of risk to individuals irrespective of whether they live in an urban or rural area.

Table 6 - Impact scale (aligned to *IASC Emergency Response Preparedness* and Emergency Preparedness Platform guidance)

IMPACT SCORES				
Negligible (1)	**Minor (2)**	**Moderate (3)**	**Severe (4)**	**Critical (5)**
Minor additional humanitarian impact. Government capacity is sufficient to deal with the situation	Minor additional humanitarian impact. Current country-level UNICEF and/or inter-agency resources are sufficient to cover needs beyond government capacity	Moderate additional humanitarian impact. Additional UNICEF and/or inter-agency resources comprise up to 30% of the current operations required to cover needs beyond government capacity Regional support not required	Substantial additional humanitarian impact. Additional UNICEF and/or inter-agency resources comprise up to 50% of the current operations required to cover needs beyond government capacity Regional support required	Massive additional humanitarian impact. Additional UNICEF and/or inter-agency resources comprise more than 80% of the current operations required to cover needs beyond government capacity L3-scale emergency

An indicative review of how a team may consider the exposure, historical impacts and potential impacts for a single stress is presented below (see **Table 7**). UNICEF country offices can elaborate a similar table.

Table 7 - An indicative review of drought stress for Bosnia and Herzegovina using the impact scale[32]

Stress	Exposure	Historical and potential impacts and losses	Score
Drought	Drought stress is concentrated in the north-eastern and south-western parts of the country, and is less pronounced in the central mountainous regions. In descending order, the areas most affected by 10-year droughts are: Mostar, Bijeljina, Brod, Sarajevo, Livno, Banja Luka and Bihac. Climate change may alter the geographical distribution of the hazard, however.	Historical impacts: The worst drought in 120 years occurred in 2002, generating a 60% decline in agricultural production, which resulted in a food crisis. A subsequent heatwave and drought in 2003 destroyed 40% of the annual crop and affected 200,000 people. Potential wider impacts: Drought is a complex phenomenon that reflects an accumulation of stresses over a longer time period. Droughts do not cause structural damages but undermine livelihoods, in particular those of rural agricultural communities. Drought losses incurred by individual families, especially farmers with smallholdings (still the predominant type of farming in country) who have limited alternative income sources, may result in a number of negative consequences for children, including: spikes in food prices, affecting poorer households and possibly leading to child malnutrition; cutting back on expenses such as education, health care and clothing for children; children leaving school early to enter labour market; and migration (to urban areas).	3–4 = Medium to heavy. While not causing deaths in country, drought has significant and destructive impacts on rural and agricultural communities and can be widespread.

3.2.3. VULNERABILITIES AND CAPACITIES

UNICEF country offices and stakeholders can use the following method to review both the characteristics that make children and families particularly susceptible to the negative impacts of a shock or stress, and the national capacities that can play a role in reducing, mitigating or managing these impacts.

Consider the vulnerabilities of children and households

For each shock or stress, multi-stakeholder teams should use secondary sources to gather national-level data and information on the current vulnerabilities of children and households. Data and information can be obtained from a variety of national and international sources (see ***Annex 1, Table 2***). Note all groups that are extremely vulnerable.

[32] This example is adapted from the UNICEF Bosnia and Herzegovina 'pre-analysis' report for the 2017 GRIP workshop, produced 23 January 2017. For the original data sources, see the report, which is available at the Risk and Resilience, Fragility and Peacebuilding team site, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/RiskResilienceFragilityPeacebuilding/SitePages/Home2.aspx>, accessed 8 March 2018.

Also note any significant geographical patterns of vulnerability, considering especially those geographical areas that have been identified as being particularly exposed.

Consider the capacities of communities, institutions and authorities

Multi-stakeholder teams should also use secondary sources to gather national-level data and information on the current capacities of communities, institutions and local or national authorities. It may be useful to consider separating out general capacities (e.g., governance, delivery of social services) from specific capacities related to the management of contextual risks (e.g., the management of climate change, disasters and national crises) (see **Box 7**). Data and information can be obtained from a variety of national and international sources (see ***Annex 1, Table 2***). Note any significant geographical variations in capacity at the sub-national level, considering especially those geographical areas that have been identified as being particularly exposed. An indicative example of the estimation of vulnerabilities and capacities for Cambodia in relation to floods is presented below (see **Table 8**). UNICEF country offices can elaborate a similar table.

Table 8 - An indicative review of vulnerabilities and capacities for Cambodia, considering floods[33]

Vulnerabilities	Capacities
Socio-economic vulnerabilities: Most vulnerable are those children living in impoverished and often indebted households with limited or no contingencies; limited access to land/natural resources; limited or no access to improved sources of water and sanitation, and health, education and social services; and fair/low interest-credit. Around **40%** of Cambodia's 14.7 million people live just above the poverty line – most of them belong to marginalized groups living in rural areas. **79%** of children are fully immunized, but there are concerning gaps in coverage in rural areas, leaving children living here particularly vulnerable during a crisis. **32%** of children under 5 years of age are stunted, indicating multiple and overlapping deprivations. **73.3%** of children under 5 have had their birth registered (84.4% in urban areas; 71.6% in rural). Indigenous communities (such as Khmer Loeu) are spread out over 15 provinces and represent **2.86%** of the population. They share restricted access to land and natural resources, are often impoverished and face barriers to participation. Children, including adolescents, exposed to gender-based violence, sexual exploitation and abuse are particularly vulnerable, as are: children with disabilities; the estimated **49,000** children in residential care facilities or institutions; and children aged 14–17 years in the juvenile justice system. Children living with elderly caregivers or left in the care of other family members (e.g., children of migrant workers) or living with parents with disabilities or chronic illness may face challenges in terms of accessing adequate care and protection.	**Disaster risk reduction, preparedness and disaster risk management capacities:** Law on Disaster Management (2015) in place covering prevention/mitigation, response and recovery. Committees for disaster management operate at national, city and province, town, district and commune levels. National Action Plan for Disaster Risk Reduction 2014–2018 and Cambodia Climate Change Strategic Plan 2014–2023. Disaster management system has traditionally focused on flood prevention (dykes, embankments) and flood response. Non-governmental organizations have conducted a number of flood risk assessments at the local level with inundation maps. Flood monitoring, forecasting and warning capacities within the Ministry of Water Resources and Meteorology. Cambodian Red Cross has 24 branches and 5,300 youth volunteers. Coordination mechanisms for response are in place including the United Nations Disaster Management Team and national Humanitarian Response Forum. **Lack of capacity:** National capacities for water, sanitation and hygiene (WASH) emergency response are limited. Only one in two Cambodians has access to safe drinking water, and fewer than one in four has access to a toilet. Only half of Cambodian primary school teachers are qualified, meaning that proper risk reduction education is unlikely. System of social protection is insufficiently prepared to help affected families recover from disaster/flooding impacts (e.g., through emergency procedures, cash transfers). Lack of a nationwide and systematic flood/multi-hazard risk assessment, lack of standardization for local assessments. Flood early warning messages do not reach the most at-risk communes due to unclear standard operating procedures and a lack of communications equipment. Lack of updated emergency and evacuation plans; lack of public awareness, simulations and drills in flood-prone communities; limited local-level response capacity.

[33] This table is adapted from the UNICEF Cambodia 'pre-analysis' report prepared in advance of the Results-based Management-GRIP workshop of September 2017. For the original data sources, see the report, which is available at the Risk and Resilience, Fragility and Peacebuilding team site, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/RiskResilienceFragilityPeacebuilding/SitePages/Home2.aspx>, accessed 8 March 2018.

BOX 7 - CONCEPTS OF VULNERABILITY AND CAPACITY

Before progressing, it may be useful to clarify certain aspects of what is meant by 'vulnerability' and 'capacity':

- In GRIP, vulnerability is defined as: the characteristics and circumstances of an individual or household that make them susceptible to the damaging effects of a hazard. Capacity is defined as: the combined strengths, attributes and resources available within a community or society to manage and reduce risks and strengthen resilience. Although GRIP recognizes that vulnerability and capacity are interrelated concepts, for the purpose of this risk assessment vulnerability here refers to the *characteristics of individuals and households* that make them particularly susceptible to a shock or stress, while capacity considers *factors related to community, national or institutional abilities* (strengths, performance) to manage the impacts of shocks and stresses.[34]

- Capacity is a very broad concept. To stay relevant, the risk assessment should focus on capacity in terms of those strengths that may help to reduce, mitigate or manage the impacts of shocks and stresses. Capacities may include: infrastructure such as communications and transportation networks; physical infrastructure such as water and sanitation facilities and health care systems; coverage and functionality of systems such as social safety nets; evidence of functional institutions and leadership; and/or clear management or formal investment by the government in preparedness and disaster management.

- For those UNICEF country offices that have identified armed conflict or major threats to social cohesion as a shock or stress, it will be important to specifically consider the presence of 'peace capacities'. The UNICEF *Guide to Conflict Analysis* suggests that peace capacities are institutions, groups, traditions, events, rituals, processes and people that are well positioned and equipped to address conflict constructively and build peace (e.g., a reform programme, a civil society commitment to peace, ritualized and traditional dispute resolution).

- Vulnerability is also a broad concept. UNICEF has developed various methodologies and indices for analysing the inequities and deprivations facing children and women within and among countries. These include indices for child well-being or child deprivation,[35] and the Multiple Overlapping Deprivation Analysis for Children[36] (for other examples, see **Annex 1, Table 2**). All of these models have applicability to the measurement of vulnerability for the risk assessment, however, the concepts of poverty and deprivation differ from the concept of vulnerability. While multidimensional poverty describes the status of a child or household at a certain point in time, vulnerability is somewhat predictive in nature since it implies the presence of a threat (a shock or stress) that creates a risk for the child, household or community. The characteristics of vulnerability can also change, depending on which shock or stress is considered.

- When reviewing the various dimensions of vulnerability, *consider the relevance of each indicator* in relation to whether or not the characteristic in question makes the individual or household more or less susceptible to the impacts of a specific shock or stress. For example, many indices related to child well-being capture the prevalence of violence in the home, but the link between the experience of violence and the resilience of children to the impacts of external shocks and stresses is not yet clear. For example, the child may be vulnerable to the threat of violence, but not to the impacts of a financial crisis.

- When identifying vulnerable groups, it is important to note any evidence of the specific deprivations facing each group, recognizing that it is these deprivations – rather than membership of the group – that characterize vulnerability. For example, a large number of risk assessments have noted the vulnerability of ethnic minorities, but many ethnic minorities are highly empowered.

- GRIP uses a 'people-centric' approach. It therefore considers socio-economic vulnerability rather than physical vulnerability or the 'sensitivity' of key infrastructure and systems. Teams may nevertheless wish to list under the exposure variable all of the critical infrastructure and facilities for children, as this can help to place a focus on networks and systems.

[34] De Groeve, Tom, Karmen Poljanšek and Luca Vernaccini, Index for Risk Management – INFORM, Concept and Methodology Version 2016, Publications Office of the European Union, Luxembourg, 2015, available at <http://publications.jrc.ec.europa.eu/repository/bitstream/JRC98090/lbna27521enn (2).pdf>, accessed 18 February 2018.
[35] United Nations Children's Fund, Measuring Child Poverty: New league tables of child poverty in the world's rich countries, Innocenti Report Card 10, UNICEF Office of Research - Innocenti, Florence, 2012, available at <www.unicef-irc.org/publications/660-measuring-child-poverty-new-league-tables-of-child-poverty-in-the-worlds-rich-countries.html>, accessed 18 February 2018.
[36] United Nations Children's Fund, 'About Multiple Overlapping Deprivation Analysis (MODA) for Children', UNICEF Office of Research - Innocenti, <www.unicef-irc.org/MODA/>, accessed 18 February 2018.

BOX 8 - GENDER IN RISK ASSESSMENTS

Risk is a gendered concept. More men than women are killed in armed conflict,[37] and more women than men die in natural disasters.[38] Fatality rates in natural disasters are so much higher for women in large part due to gendered differences in capacity to cope with shocks and stresses.[39] For example, women accounted for 61 per cent of fatalities caused by Cyclone Nargis in Myanmar in 2008, and 70–80 per cent of fatalities resulting from the 2004 Indian Ocean tsunami.[40]

To be complete, an assessment of vulnerabilities and capacities must consider social networks, power relationships and gender roles. When women fail to participate in risk reduction, preparedness and response efforts, it can also signal the marginalization of others, including the elderly, people with disabilities and other vulnerable groups. Women and men, and girls and boys all have crucial roles to play, yet women's contribution to mitigating and preparing for disasters and managing crises is frequently overlooked.

To be adequately gender-sensitive, risk assessments must:

- include women and men in the identification of shocks and stresses in their environment, on the basis that their knowledge and experience of the factors that cause risk differs
- use disaggregated data, as the impacts of a crisis are usually differentiated by gender
- consider the different vulnerabilities of women and men, and girls and boys, since health, nutrition, education and overall socio-economic status often differ significantly between the sexes
- consider the different capacities of women and men, and girls and boys, paying attention to their relative social networks, sectors of employment and levels of influence.
- draw on GRIP Module No. 3, which emphasizes the importance of conducting a Gender Programmatic Review,[41] making reference to the Gender Action Plan and the Gender Equality team site.[42]

3.2.4. ASSIGNING A SCORE TO IMPACT

UNICEF country offices and stakeholders should now assign a score to the shock or stress, based on the severity of its probable impact, using the adapted impact scale (see Table 6). The method used to estimate the most likely impact level may be sophisticated (e.g., requiring statistical analysis or drawing on external expertise) or simple (e.g., the outcome of group discussions that note the average cumulative losses associated with different events). It can also draw upon national and inter-agency ranking exercises conducted for the purpose of preparedness and contingency planning.

3.3. STEP 3: RISK 3

Step 3 of the risk assessment involves multiplying the likelihood and probable impact scores to produce a combined score, which provides the basis for ranking each shock or stress according to the relative risk that it poses. Multi-stakeholder teams should provide a justification for the ranking of the various shocks and stresses, and suggest which three hazards to prioritize for discussion alongside GRIP Module No. 3, which focuses on the design or adaptation of programmes.

An ideal model for a risk summary table, featuring two examples, is presented for Viet Nam (see **Table 9**). UNICEF country offices and stakeholders can elaborate a similar table.

[37] Plümper, Thomas, and Eric Neumayer, 'The Unequal Burden of War: The Effect of Armed Conflict on the Gender Gap in Life Expectancy', International Organization, vol. 60, no. 3, July 2006, pp. 723–754.
[38] Multiple sources including: Nishikiori, Nobuyuki, et al., 'Who died as a result of the tsunami? – Risk factors of mortality among internally displaced persons in Sri Lanka: A retrospective cohort analysis', BMC Public Health, vol. 6, 2006, p. 73; Oxfam, 'The Tsunami's Impact on Women', Oxfam Briefing Note, Oxfam International, March 2005; and Neumayer, Eric, and Thomas Plümper, 'The gendered nature of natural disasters: the impact of catastrophic events on the gender gap in life expectancy, 1981–2002', Annals of the Association of American Geographers, vol. 97, no. 3, 2007, pp. 551–566.
[39] Ikeda, K., 'Gender Differences in Human Loss and Vulnerability in Natural Disasters: A Case Study from Bangladesh', Indian Journal of Gender Studies, vol. 2, no. 2, 1995, pp. 171–93; Neumayer, Eric, and Thomas Plümper, 'The gendered nature of natural disasters: the impact of catastrophic events on the gender gap in life expectancy, 1981–2002', Annals of the Association of American Geographers, vol. 97, no. 3, 2007, pp. 551–566; and Oxfam, 'The Tsunami's Impact on Women', Oxfam Briefing Note, Oxfam International, March 2005; as cited in Habtezion, Senay, 'Gender and disaster risk reduction', Gender and Climate Change Asia and the Pacific Policy Brief No. 3, United Nations Development Programme, New York, 2013, available at <www.undp.org/content/dam/undp/library/gender/Gender and Environment/PB3-AP-Gender-and-disaster-risk-reduction.pdf>, accessed 17 February 2018.
[40] Castañeda, I., and S. Gammage, 'Gender, Global Crises, and Climate Change', in Jain, D., and D. Elson (eds.), Harvesting Feminist Knowledge for Public Policy, SAGE Publications India, New Delhi, 2011; as cited in Habtezion, Senay, 'Gender and disaster risk reduction'.
[41] United Nations Children's Fund, Gender Programmatic Review Toolkit, UNICEF, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/Gender Programmatic Review.aspx>, accessed 8 March 2018.
[42] The Gender Equality team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/Home.aspx>, accessed 8 March 2018.

Table 9 - Example risk summary table for Viet Nam

Shock/ stress	Likelihood score	Impact score	Combined score	Rank and reasons for prioritization
Typhoon	**5**	**4**	**20**	The risks associated with typhoons are a priority for risk reduction programming, preparedness and contingency planning. There is a 100% chance of one or more destructive typhoons making landfall annually in Viet Nam, leading to strong wind, storm surge and flash floods. On average, the country experiences six to seven typhoons every year along its long coastline (3,270 km). Some 43 of the 85 typhoons in EM-DAT, the International Disaster Database, have occurred since 2000, which seems to signal an upward trend. Although mortality is declining due to disaster risk reduction, typhoons remain the deadliest shock in Viet Nam: since 1960, typhoons have caused more than 18,677 fatalities, affected 48 million persons and led to economic losses totalling US$6.7 million.
Drought	**5**	**4**	**20**	The risks associated with drought are a priority for risk reduction programming, preparedness and contingency planning. EM-DAT lists three major droughts from 2000 to 2017, which affected about 3.5 million people and caused damages worth more than US$7 million. In-country assessments suggest that drought events and their impacts are under-reported, however. Climate change analysis also suggests that in future droughts will be more frequent and severe, which may have crippling effects on livelihoods and on vulnerable families.

BOX 9 - CONCEPTS OF RISK

Certain concepts surrounding the process of ranking 'risks' should be clarified at the outset:

- As mentioned previously, the risk assessment of GRIP Module No. 2 is primarily concerned with ascertaining the risk of humanitarian crisis affecting children, households and communities. Therefore the risks associated with each shock or stress should be ranked in order of their likelihood of leading to a crisis that might overwhelm national capacities and result in acute and urgent needs. If considering the risk of an erosion of development progress in a specific sector, or the risk of the deepening of a specific deprivation facing children, refer to the methods presented in the analysis phase (section 4) and the supplementary information in GRIP Module Nos. 5–11.
- Since the GRIP risk assessment should be conducted in a participatory manner with national counterparts and partners, the ranking of shocks and stresses will be the result of discussions based largely on *perceptions* of relative risk. Rankings are neither fully evidence-based nor comparable between countries. Given the subjective nature of the assessment, discussion groups should consider biases in their perceptions of risk, which may include the following:
  - The emotional state of the perceiver.[43] Groups that have recently experienced a traumatic event or crisis may rank the shocks and/or stresses that triggered it as more likely or impactful than other hazards.
  - A tendency to have a greater acceptance of risks that are considered voluntary rather than involuntary.[44] This could encourage groups to rank stresses related to civil unrest and/or migration as lower risk than those shocks perceived to be beyond human influence such as an earthquake or tsunami.
  - A tendency to focus on shocks that appear to pose an immediate threat rather than on long-term stresses that may irreversibly affect future generations.[45] Facilitators should challenge groups to retain a focus on significant slower-onset stresses in their planning.
  - A tendency to tolerate or accept risk if a benefit is perceived.[46] This may also influence the acceptance of certain shocks or stresses considered to have benefits such as seasonal floods that irrigate flood plains or political violence driven by an aspiration for social justice.

[43] This concept of the emotional state of the perceiver influencing risk perception is described in: Bodenhausen, Galen V., 'Emotions, arousal, and stereotypic judgments: A heuristic model of affect and stereotyping', in Affect, Cognition, and Stereotyping: Interactive Processes in Group Perception, edited by Diane M. Mackie and David L. Hamilton, Academic Press, San Diego, 1993, pp. 13–37.
[44] This concept of voluntary versus involuntary risks is described in: 'Social Benefit versus Technological Risk', Science, vol. 165, no. 3899, 1969, pp. 1232–1238, available at <http://science.sciencemag.org/content/165/3899/1232>, accessed 18 February 2018.
[45] This concept of having more concern for immediate problems is explained in: Slimak and Dietz, 2006, cited in The Psychology of Environmental Problems: Psychology for Sustainability, 3rd ed., edited by Susan M. Koger and Deborah DuNann Winter, Psychology Press, New York, 2010, pp. 216–217.
[46] This concept of having greater tolerance for risks that are perceived to have benefits is explained in: Slovic, Paul, Baruch Fischhoff and Sarah Lichtenstein, 'Why Study Risk Perception?', Risk Analysis, vol. 2, no. 2, 1982, pp. 83–93, available at <http://onlinelibrary.wiley.com/doi/10.1111/j.1539-6924.1982.tb01369.x/full>, accessed 18 February 2018.

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4. ANALYSIS PHASE

The analysis phase of the GRIP child-centred risk analysis is distinct from the assessment phase and uses the conceptual framework of the human rights-based approach to programming to 'dig deeper' and analyse **why** risks are occurring, **who** is responsible for addressing them and **what** capacities these actors need to enable them to do so. The best approach to analysis is a participatory one, involving national counterparts and partners. The analysis phase therefore involves some primary data collection, as these stakeholders can contribute to the process via interviews, focus group discussions and/or consultation workshops such as GRIP workshops.

GRIP recommends that all UNICEF country offices use the child-centred risk assessment (either in *narrative* or *spatial* form) as the basis to conduct a **causality analysis**, which is considered the starting point for establishing relationships between outcomes observed among women and children and their likely causes. However, while the risk assessment focused primarily on ascertaining the risk of humanitarian crisis triggered by a shock or stress affecting all sectors, the causality analysis can ascertain the risk of deepening deprivation facing children in a particular sector. Country offices may also consider conducting at the same time additional analyses such as role pattern analysis, capacity gap analysis and/or a more comprehensive conflict analysis or climate landscape analysis for children.

4.1. CAUSALITY ANALYSIS

Causality analysis is often used to examine the causes of shortfalls and inequities in the realization of child rights and is a critical tool for the risk-informed SitAn and the development of new country programmes. The UNICEF Guidance on Conducting a Situation Analysis of Children's and Women's Rights provides an overview of the methodology for causality analysis.[47]

[47] United Nations Children's Fund, *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*, UNICEF Division of Policy and Strategy, March 2012, available at <www.unicefinemergencies.com/downloads/eresource/docs/Rights based equity focused Situation Analysis guidance.pdf>, accessed 17 February 2018.

To complete a risk-focused causality analysis, GRIP recommends that teams conduct the following steps:

1. **Develop a statement related to child deprivation**
   Consult existing causality analyses developed for the SitAn or country programme and use the same point of departure. In most cases, this will be an impact-level deprivation or inequity (i.e., a gap in the realization of child rights). Use this 'problem statement' as the top of the problem tree and list four or five immediate causes of this deprivation (for an example, see **Graphic 5**).

2. **Consider the impacts of a particular shock or stress on the deprivation and its immediate causes**
   Use the highest-ranking shock or stress from the assessment phase and consider how the manifestation of this risk could lead to a worsening, deepening or acceleration of the deprivation and its immediate causes. Then ask why this would occur, to identify further structural and underlying causes.

3. **Apply the MoRES 10-determinant framework**
   The 10-determinant framework[48] of the UNICEF Monitoring Results for Equity System (MoRES)[49] has been developed to guide the analysis of barriers and bottlenecks faced by children in realizing their rights, but it can also be very useful to consult the framework to ensure the completeness of a causality analysis. Use the framework to confirm that all of the causes related to barriers in the supply of, demand for and quality of services, and within the enabling environment have been identified.

4. **Check the analysis**
   Ensure that the analysis is holistic and complete (see **Table 10**).

Tips for the development of a causality analysis:

- **Keep it simple**. Although it is tempting to create a problem tree for all of the risks associated with multiple shocks and stresses, the cause-and-effect relationships between various hazards and existing deprivations can be very pronounced. Consider, for example, the difference between armed conflict and severe storms. Causes are often not linear, but rather a complex interaction of multiple causes that reinforce one another. Developing a specific problem tree for a single shock or stress minimizes the complexity.

- **Apply an 'equity and gender lens'**. The most at-risk populations face particular bottlenecks and barriers, which often differ in nature and severity from those faced by other population groups. Similarly, women and men, and girls and boys experience the impacts of shocks and stresses differently, and have different capacities and responses, all of which affects causality. Consider adapting the causality analysis to look at different groups (grouped by geographical location, language/ethnicity, gender, disability, etc.) to help identify constraints to the critical conditions or determinants specific to each group.

- **Consider inter-sectoral, cross-cutting or emerging interest areas**. Causality analysis can also be extremely useful when considering the impacts of shocks and stresses on particular groups such as adolescents or youth, or on the outcomes of a package of integrated services such as early childhood development.

- **Always do a separate causality analysis for conflict**. For UNICEF country offices that identify conflict as a shock or stress, it is critical that a separate causality analysis is carried out for this hazard. The UNICEF *Guide to Conflict Analysis* helps teams to consider the root and proximate causes of conflict. Root causes are the underlying socio-economic, cultural and institutional factors (e.g., poor governance, systematic discrimination, lack of political participation, unequal economic opportunity) that create the conditions for destructive conflict and violence. Proximate causes contribute to the escalation of tensions and help to create an enabling environment for violence (e.g., human rights abuses, worsening economic conditions, divisive rhetoric, drought aggravating competition over pasture and water).

- **Avoid generalities**. Causality analysis should always be context-specific, as an underlying cause of a problem in one country may be regarded as a more deep-rooted structural determinant in another. Try to avoid generic cause-and-effect relationships and focus instead on describing what is actually happening on the ground. Where possible, cite data from the child-centred risk assessment.

[48] United Nations Children's Fund, The Determinant Analysis for Equity Programming, August 2014, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/:w:/r/teams/PD/MoRES/_layouts/15/WopiFrame.aspx?sourcedoc=%7B042c3397-e095-4f04-82af-ae1b794d26bf%7D&action=view&Source=https%3A%2F%2Fteams%2Eunicef%2Eorg%2Fsites%2FNYHQ01%2FOED%2FMoRES%2FDocument%20Library%2FForms%>, accessed 8 March 2018.
[49] The Monitoring Results for Equity System (MoRES) team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/MoRES/SitePages/MoRESCollab.aspx>, accessed 8 March 2018.

Table 10 - Key questions: Using the 10-determinant framework to support causality analysis

IMMEDIATE CAUSES: How are shocks and stresses immediate causes of deprivations and inequities?

What are the immediate impacts and losses associated with shocks and stresses? How do these exacerbate the deprivation or inequity? For example: Is there loss of life; injury; possible damage to and loss of assets, property or livelihoods; and/or the displacement of children and their families? How does this lead to greater inequities between those groups that are exposed and those that are not?

Which households, groups, communities or geographical areas are particularly at risk? Does each need a separate problem tree?

UNDERLYING CAUSES: Supply, demand and quality dimensions

Supply: Adequately staffed services, facilities and information, and availability of commodities and inputs

Are there shortfalls in the availability or integrity of *infrastructure, facilities and systems* that have made the impacts of the shock or stress particularly devastating? What are these shortfalls?

Are there gaps in the *availability of qualified/trained staff*, whose absence contributed to the severity of the impacts and losses? Is capacity development for human resources required to help reduce and manage risk?

Is *adequate information available* in advance of shocks and stresses? Do stakeholders have the information they need during emergencies? How can information and monitoring systems be strengthened to reduce risk?

Are there breaks in the *continuity of the supply chain for essential commodities* that will make it difficult to respond effectively in emergencies? How must supply chains be strengthened to improve preparedness and crisis management?

Quality: Adherence to required standards and norms

Are there shortfalls in service providers' adherence to minimum standards (for infrastructure and services) that have contributed to the impacts and losses associated with the shock or stress? Do standards, norms, codes and procedures need to be updated or better enforced?

Demand: Financial access, social and cultural practices and beliefs, continuity of use

Are there mechanisms such as insurance or social protection to support vulnerable families before, during and after a crisis? Would such mechanisms improve access to services for vulnerable families, by *limiting financial burdens?*

Are households blocked from accessing services either physically or due to social norms (e.g., those which restrict women's access to public spaces and family/community resources) or does reaching services raise security concerns? How did this exacerbate the impacts of the shock or stress?

Do families know how and where to access services if the shock or stress occurs? Do they have the knowledge they need to employ proper health and hygiene seeking behaviours during a crisis? Are they likely to employ negative coping mechanisms that could exacerbate the deprivation and/or provoke new concerns?

Which channels of communication with communities and among community members are functioning? How did members of the affected population share and receive information? Are vulnerable groups able to access information as well, or are they excluded?

DEEPER UNDERLYING AND STRUCTURAL CAUSES: Enabling environment dimension

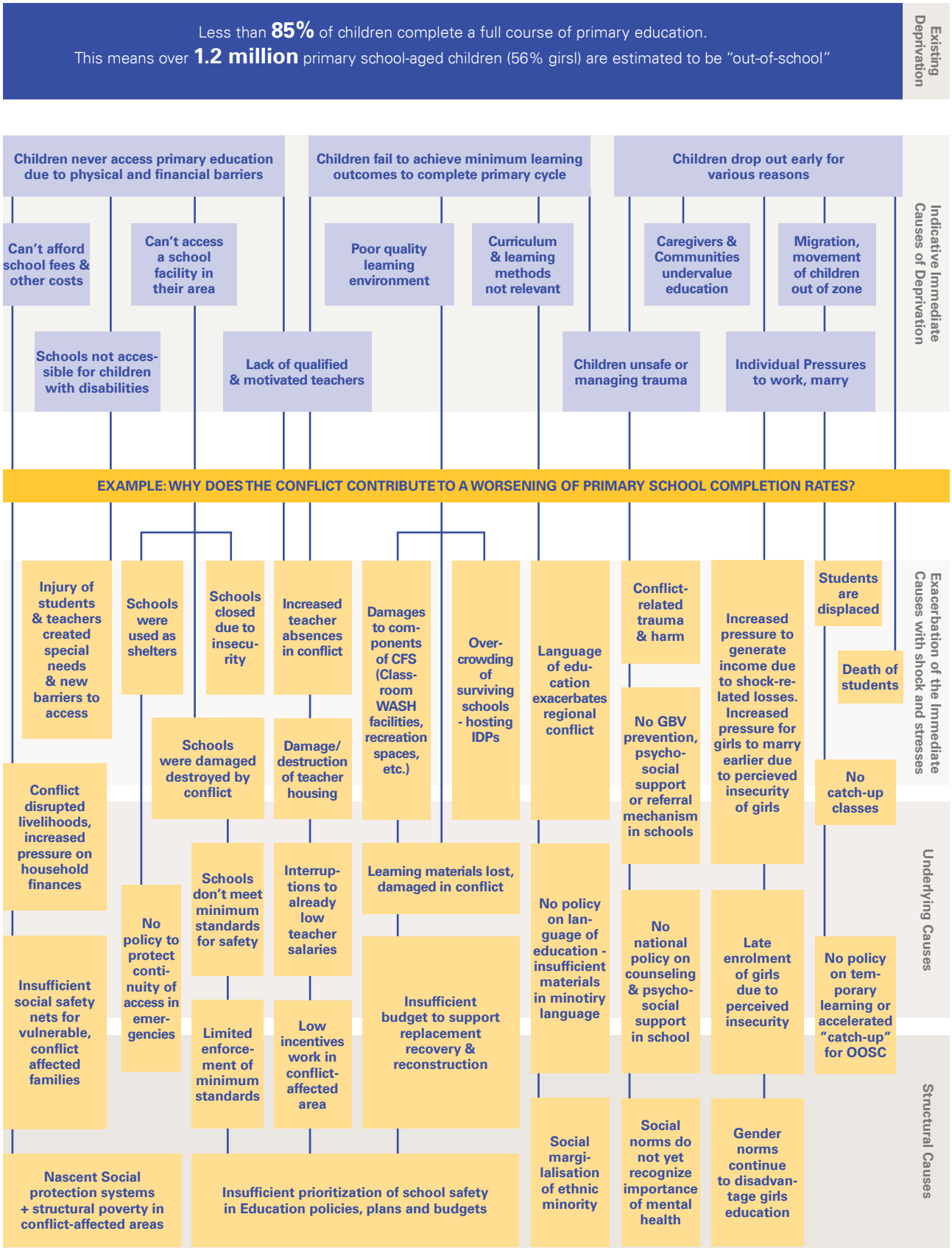
Are national *requirements and standards to reduce the risk* of the shock or stress (e.g., standards and codes for the construction and management of facilities) adequate and enforced? How does the wider governance in country affect capacities for the management of public services in general?

Do national and local government have contingency plans in place? Do these plans consider the special needs, vulnerabilities and capacities of children? Is the resource allocation for flexible contingency funding adequate and sufficient to manage relief and recovery and ensure the continuation and quality of service delivery in the event of a shock or stress?

Are there any gaps in the *national or local policies or plans* that must be addressed to ensure the continuity and quality of services after a shock or stress? Do they take into account the special needs, vulnerabilities and capacities of children and youth? Is the *resource allocation for risk reduction* adequate in relevant sectors?

Are there in certain sectors or geographical areas *deeper structural causes or social norms* (e.g., structural discrimination, which is often compounded by interactions between gender, ethnicity, socio-economic status and disability) that heighten risks?

Graphic 5 - Example of a causality analysis for education, looking at the impacts of conflict on primary school completion



4.2. OPTIONAL ANALYSES

Optional analyses which may be considered by the UNICEF country office include the following, all of which are described in more detail in the UNICEF *Guidance on Conducting a Situation Analysis of Children's and Women's Rights*.

Role pattern analysis

If the intention of the risk analysis is to inform potential partnership strategies, a role pattern analysis may be conducted to appreciate the roles that relevant stakeholders play in addressing the causes cited in the problem tree. This involves understanding who is responsible for the various rights not being respected, protected or fulfilled. As a first step, multi-stakeholder teams should confirm the relationship between the rights-holders and duty bearers in relation to risk reduction at various levels, including community, sub-national and national levels.

This analysis therefore answers the question:
Which individuals and/or institutions have the duty to reduce these risks?

Capacity gap analysis

If the intention of the risk analysis is to influence sector-specific planning, including the development of work plans with a technical line ministry, institution or partner, a capacity gap analysis conducted with this specific duty bearer can be very useful. In contrast to the review of capacities conducted at the assessment phase, this capacity gap analysis *focuses on what a specific duty bearer needs* to fulfil its responsibilities in reducing vulnerabilities, strengthening capacities and reducing the risk of humanitarian crisis. It considers the information, knowledge, skills, will/motivation, authority and financial/material resources that exist and/or are lacking in the institution or partner. In some cases, a capacity gap analysis may also focus on a rights-holder such as the child or household.

This analysis therefore answers the question:
What capacities are needed to address the most critical risks, for both those who are being denied their rights and those who have a duty to address these challenges?

5. VALIDATION PHASE

5.1. REVIEW AND VALIDATION

Any 'research' or 'study' at UNICEF should be reviewed and validated – both by the stakeholders who contributed to its design and elaboration, and by others external to the process. If an advisory board guided the process of elaboration, this board should approve the final draft. The internal steering committee should manage review processes.

Depending on its depth and scope, a child-centred risk analysis could be reviewed by any or all of the following:

- internal UNICEF technical experts – at country, regional and Headquarters levels
- external peers – at least two independent, non-UNICEF reviewers who are recognized as experts in their relevant fields and can provide independent, impartial and high quality comments
- women's groups and groups of children, adolescents or youth, where possible – through the use of focus group discussions and/or child-friendly communication methods.

In any analysis, it is a good idea to note any limitations of the methodology and analysis, and explain what influence these may have on the findings and outcomes of the process. This can include reflections on why certain choices were made, with guidance for others who may try to replicate the steps to produce similar analyses. Limitations are often best identified in collaboration with stakeholders during the validation phase.

5.2. DISSEMINATION AND USE

If the child-centred risk analysis is not used, its strategic purpose cannot be fulfilled. From the start, UNICEF country offices should think strategically about how to maximize use of the analysis by key national counterparts and partners, and about what formats best meet the needs of major users.

Some options to consider for dissemination:

- **Adapt the presentation of the analysis to suit different users**. If the analysis is to be used externally, consider publication (with reference to the UNICEF Publication Policy)[50] and presentation in the form of communications products targeted at non-specialists, including children, adolescents and youth.
- **Launch the analysis with partners**. UNICEF may ask the leading national counterpart to convene partners to be involved in the launch in recognition of the contributions of multiple stakeholders.
- **Work with partners to integrate findings into other analyses**. This may include analyses led by national or international partners including the United Nations Country Team.
- **Arrange for the handover of databases**. Ideally, databases should be owned and maintained by national authorities. If a database was developed to support risk analysis, this phase could include its handover and the strengthening of national capacities to ensure its maintenance.

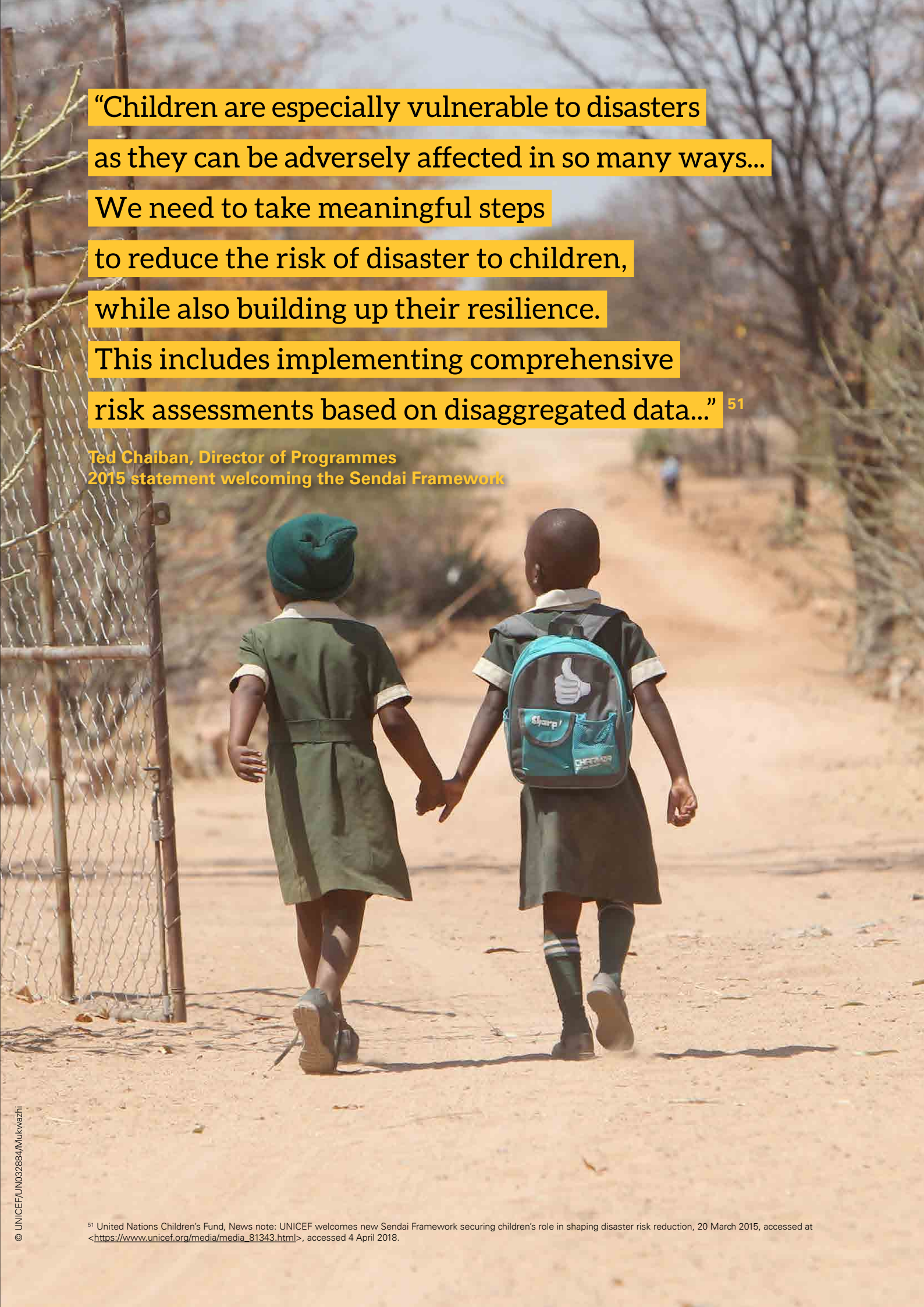
5.3. ASSESSING PERFORMANCE WITH QUALITY CRITERIA

The following table can be used to evaluate team performance and the quality of the child-centred risk analysis at each stage of elaboration. The recommended scale for the evaluation is immediately below.

1	No, not at all
2	Not very much
3	Yes, moderately
4	Yes, to a great extent
5	Yes, to an exemplary level

[50] United Nations Children's Fund, UNICEF Publication Policy, revised 15 November 2016, accessible to UNICEF staff and consultants at <https://icon.unicef.org/iconhome/ICON Document Library/UNICEF Publication Policy - 15 Nov 2016.pdf>, accessed 8 March 2018.

QUALITY CRITERIA	SCALE				
	1	2	3	4	5
PREPARATION					
Do the terms of reference for the risk analysis clearly identify the strategic purpose of the risk analysis, and its potential users and uses?					
Has a single research manager been assigned to manage the process? Is she or he empowered to encourage cross-sectoral collaboration?					
Has the analysis been classified as a 'study' or 'research' and entered into the integrated monitoring, evaluation and research plan or database (IMERP or PRIME)?					
Did national counterparts participate in the design of the analysis?					
For more in-depth analysis: Has a steering committee been established to guide the process, and does it include participation by national authorities?					
ASSESSMENT					
Does the depth of the risk assessment correspond with the country's relative risk rating? For high-risk countries: Is there a plan to conduct a sub-national spatial risk assessment or 'child-centred risk mapping'?					
Is there a historical review of the frequency of various shocks and stresses over the last 15 to 20 years?					
Is there a historical review of the impacts and losses associated with shocks and stresses over the last 15 to 20 years?					
Is relevant information included that captures the socio-economic vulnerabilities of children and households and the capacities of institutions and authorities?					
Is there a clear ranking of risks associated with specific shocks and/or stresses – or, in the case of a spatial risk assessment, the geographical areas that are most likely to experience humanitarian crisis?					
ANALYSIS					
Does the causality analysis identify immediate, underlying and structural causes that explain why the impacts and losses are so frequent and severe?					
Does the causality analysis consider underlying causes related to the supply of, demand for and quality of services, and the enabling environment?					
Have national counterparts and key child rights stakeholders participated in the elaboration of the causality analysis?					
For countries experiencing violent conflict, civil unrest or serious challenges to social cohesion: Has the UNICEF country office consulted the UNICEF *Guide to Conflict Analysis*?					
VALIDATION, DISSEMINATION AND USE					
Was the draft risk analysis reviewed by external peers nominated by national authorities and key child rights stakeholders?					
Has the risk analysis been disseminated externally, in a format ideal for use by key child rights stakeholders?					
Has the analysis been integrated into other major analyses such as the UNICEF risk-informed situation analysis and/or the United Nations Common Country Assessment?					
Has the risk analysis been discussed at the strategic moment of reflection and/or another major milestone in the elaboration of a new country programme?					



"Children are especially vulnerable to disasters as they can be adversely affected in so many ways... We need to take meaningful steps to reduce the risk of disaster to children, while also building up their resilience. This includes implementing comprehensive risk assessments based on disaggregated data..." [51]

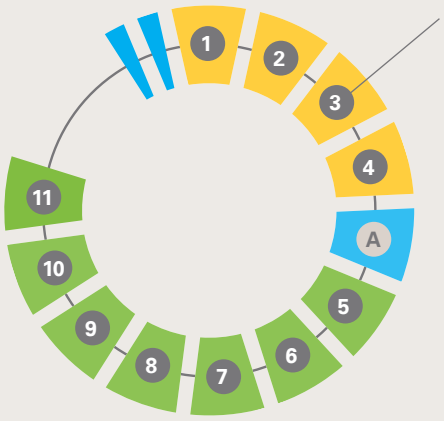
Ted Chaiban, Director of Programmes
2015 statement welcoming the Sendai Framework

[51] United Nations Children's Fund, News note: UNICEF welcomes new Sendai Framework securing children's role in shaping disaster risk reduction, 20 March 2015, accessed at <https://www.unicef.org/media/media_81343.html>, accessed 4 April 2018.

MODULE 3

DESIGN AND ADAPTATION OF PROGRAMMES

MODULE 3: DESIGN & ADAPTATION OF PROGRAMMES



CONTENTS FOR MODULE 3

All the hyperlinks are active

OVERVIEW OF GRIP MODULES 2 AND 3

GRIP Module No. 2 helps UNICEF country offices and key child rights stakeholders to:

- conduct an assessment of the risk to children and vulnerable groups in country (ranking risks by shock/stress or, in the case of a spatial risk assessment, by geographical area)
- work with partners to develop a causality analysis that asks why the impacts of crisis can be so devastating for children and vulnerable families
- analyse the roles and capacities of duty bearers, including those that may support more resilient systems and a more peaceful society
- validate the analysis and consider opportunities to maximize its dissemination and use.

GRIP Module No. 3 is designed to help UNICEF country offices and the same stakeholders to apply the body of evidence gleaned through the risk analysis (and also the risk-informed situation analysis) to design and adjust programmes. This module uses the results-based management approach to help teams to:

- develop or adjust theories of change that focus directly on the changes necessary to make children, families and systems more resilient to the impacts of shocks and stresses
- identify the comparative advantage that UNICEF has in peace and resilience programming, and develop child rights-focused, risk-informed programmes
- consider how to ensure that these programmes are risk-responsive themselves, so that they are effective even in a dynamic, risk-prone environment.

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1. INTRODUCTION

1.1 GRIP WITHIN A RESULTS-BASED MANAGEMENT APPROACH

UNICEF plans, implements, monitors and evaluates programmes with national counterparts and partners using a results-based management (RBM) approach. RBM promotes the more efficient use of resources, greater accountability and more effective programming. It also stresses the importance of identifying, reducing and managing risks in the environment – risks that may affect children and vulnerable families, and also risks that may affect the ability of UNICEF and its partners to achieve the results as planned.

All programmes can be risk-informed, irrespective of whether they apply to a high-, medium- or low-risk country, or to a UNICEF Country Programme of Cooperation that is development-oriented or focused on humanitarian action. Working together, UNICEF country offices and child rights stakeholders can:

- consider what changes are necessary to further the realization of child rights and specifically *how to protect those gains from the negative impacts of shocks and stresses*
- design or adapt risk-informed programmes to more clearly foster resilience and peace
- integrate guidance that helps teams to adjust existing programmes to mitigate the impacts of shocks and stresses on their effectiveness.

In other words, the UNICEF *Guidance for Risk-informed Programming* (GRIP) is the essential companion to the UNICEF Results-based Management (RBM) Learning Package, as it provides additional guidance on how to apply the 'risk lens' and identify specific means to further risk reduction and resilient development for children.[1]

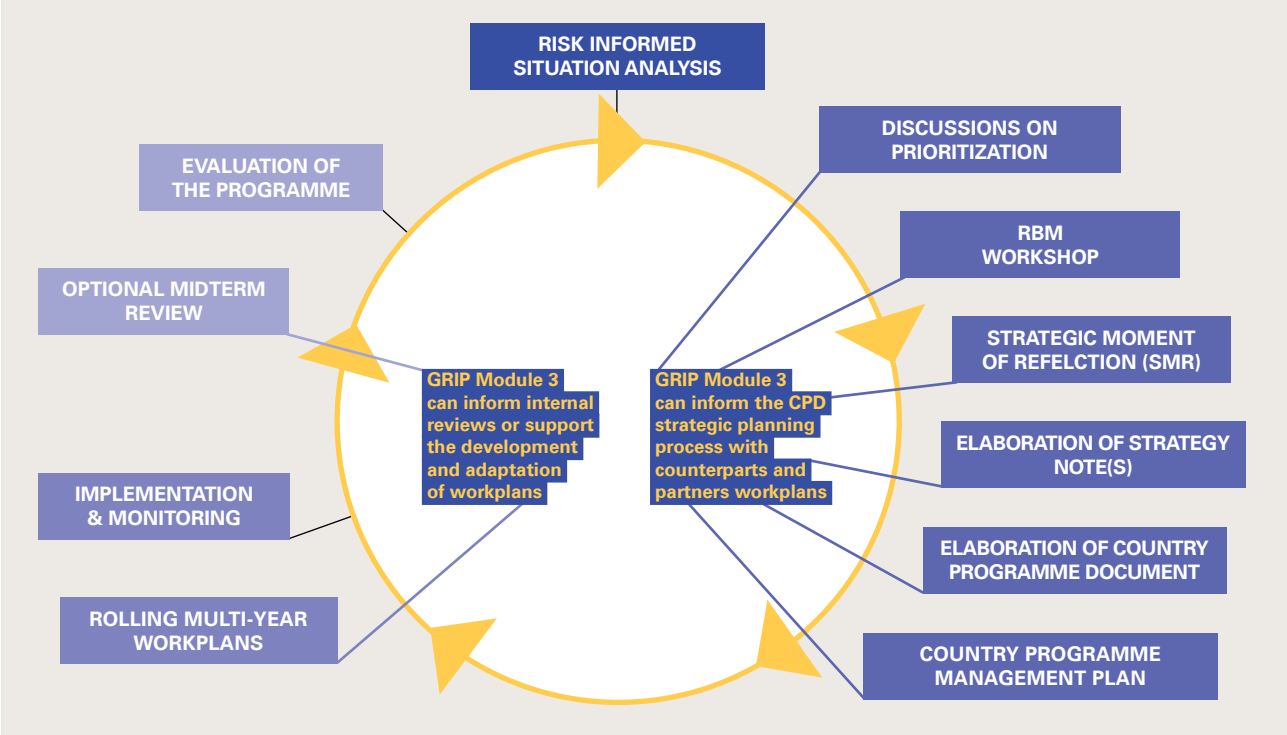
1.2 BEST TIMES TO USE GRIP MODULE NO. 3

To maximize its influence on the design of child rights programming, GRIP Module No. 3 is best applied during the design of a new UNICEF Country Programme of Cooperation, United Nations Development Assistance Framework or humanitarian action plan and/or in time to inform major national planning, budget allocation or programming milestones (see **Graphic 1**).

GRIP recognizes that strategic planning is a dynamic and iterative process and must adapt to local requirements and opportunities. As a part of the United Nations System, supporting national governments to uphold their commitments to the Convention on the Rights of the Child and the goals and targets of the 2030 Agenda for Sustainable Development, UNICEF is just one important actor in a complex and interconnected multi-stakeholder environment. Risk analysis and strategic planning should therefore always be a joint process that brings together major development partners and stakeholders.

[1] The Results-based Management (RBM) Learning Package includes an e-course, resources for face-to-face training sessions and workshops, and the *Results-based Management Handbook*. All of these resources, plus news and highlights, are accessible to UNICEF staff and consultants on the RBM Learning Package SharePoint site at <https://unicef.sharepoint.com/teams/OED/PPPManual/SitePages/RBM_Materials.aspx>, accessed 10 March 2018.

Graphic 1 - Best times to use GRIP Module No. 3, considering the UNICEF country programming cycle[2]



1.3 THE ROLE OF A GRIP WORKSHOP

A GRIP workshop is a flexible, participatory-style workshop tailor-made to support UNICEF country offices and their national counterparts and partners to consider how the risks associated with various shocks and stresses can affect children, their caregivers and their communities.

At the strategic planning phase, or at the time of programme adjustment, a 'stand-alone' GRIP workshop can be particularly useful in helping multi-stakeholder groups to:

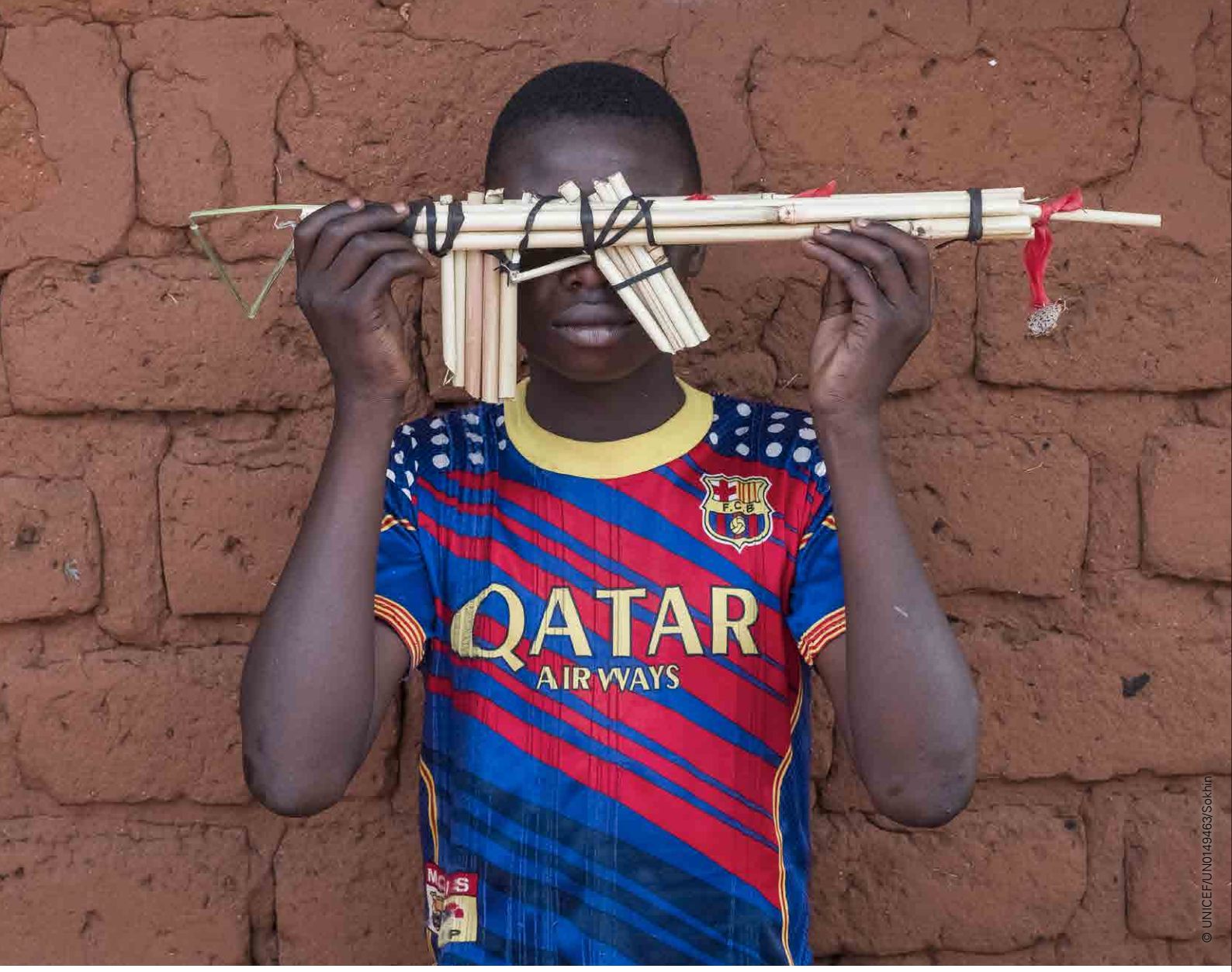
- develop sector-wide, or multi-sectoral, risk-informed theories of change (TOCs)
- embark on strategic planning for the elaboration of a new UNICEF Country Programme of Cooperation, United Nations Development Assistance Framework or humanitarian action plan
- consider the adaptation of joint work plans and partnerships to reinforce resilient development.

Aspects of a GRIP workshop can also be integrated into existing UNICEF training sessions and consultative processes, including:

- RBM training sessions, thereby strengthening the application of the 'risk lens'
- TOC workshops or 'write-shops' held with counterparts and regional advisers
- strategic moments of reflection, thereby providing a means to reaffirm the organizational commitment to resilient development
- optional mid-term reviews, thus providing a means to adjust programme results and strategies
- a Gender Programme Review, which is usually carried out once during the programme cycle, either to inform the situation analysis, programme strategy notes, mid-term review or Country Programme Document.[3]

UNICEF regional office planning and emergency advisers, in cooperation with UNICEF Headquarters through the Humanitarian Action and Transition Section (HATIS) in Programme Division, can support country offices to consider if, how and when a GRIP workshop may be useful in the strategic planning process.

[2] A Gender Programme Review can include risk analysis and feed into the situation analysis, mid-term review and/or Country Programme Document, depending on the timing of the review in relation to the country programming cycle.
[3] United Nations Children's Fund, Gender Programmatic Review Toolkit, UNICEF, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/Gender Programmatic Review.aspx>, accessed 8 March 2018.



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2. RISK-INFORMED THEORIES OF CHANGE

2.1 WHAT IS A RISK-INFORMED THEORY OF CHANGE?

A most critical aspect of the strategic planning process is the development of a TOC that articulates a collective vision for reaching a desired impact and makes explicit how one level of change leads to another. UNICEF country offices are required to develop a TOC for each outcome area of a new country programme during the elaboration of programme strategy notes.[4] A TOC can be developed at any time, however, to enrich the collaborative process and strengthen programming logic. For detailed guidance on how to develop a TOC, consult the RBM Learning Package.

More information is also provided below on how programme strategy notes are assessed in relation to 'risk responsiveness', reaffirming the fact that all TOCs can be risk-informed, irrespective of a country's risk rating (see **Box 1**). TOCs developed during the strategic planning process for a new UNICEF Country Programme of Cooperation, for example, should display a clear understanding not only of what changes are necessary to achieve the broader, impact-level goals, but also of *how to protect those gains from the negative impacts of shocks and stresses, to ensure that all children benefit from development progress.*

[4] For guidance, good practices and the global quality assessments of programme strategy notes, see the Programme Strategy Notes SharePoint site, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/SitePages/Programme_Strategy_Notes.asp>, accessed 10 March 2018.

BOX 1 - RISK RESPONSIVENESS: A QUALITY CRITERION FOR THE DEVELOPMENT OF PROGRAMME STRATEGY NOTES

The UNICEF *Quality Review of Country Programme Documents and Review of a Sample of Programme Strategy Notes* provides a means for assessing on an annual basis how well UNICEF country offices have met the quality criteria for the development of new country programme documentation.[5]

The *Quality Review* for 2017, commissioned by the UNICEF Field Results Group, assessed 30 programme strategy notes from 10 different country offices that had elaborated a Country Programme Document that year.[6] The review includes an evaluation of key programme design indicators (equity focus of programme, results-based management, gender responsiveness and risk responsiveness) to consider how well the documentation reflects the core mission and programming principles of UNICEF.

The evaluation of risk responsiveness considers the following questions:

- Does the Prioritized Issues and Areas section of the programme strategy note articulate a situation analysis that clearly references risks related to disaster, conflict and other shocks?
- Do the outcomes, outputs and interventions articulate any objectives to address or mitigate risks?
- Does the Monitoring and Evaluation section explain how monitoring approaches and processes will be adjusted to changing risks?
- How well does the programme strategy note present management initiatives to address the most critical identified risks?

Overall, the risk responsiveness quality criterion was the second lowest scoring criterion in 2017, scoring 70.9 per cent, just barely above the satisfactory threshold. This indicates a need to reflect more clearly in the programming logic a commitment to the practice of risk reduction.

Since the TOC describes aspects of the larger, complex programming environment, all relevant stakeholders should be involved in the elaboration process, so that they may share their experience and insights on how change occurs. Participation by partners will help to ensure that the TOC is 'jargon-free' and broad enough to capture the contributions and roles of various stakeholders, without specific bias to UNICEF. As illustrated in the RBM Learning Package, if a problem is caused by three conditions, all three conditions must be addressed. UNICEF may address just one of them, while other actors consider the rest.

2.2 HOW TO ELABORATE A RISK-INFORMED THEORY OF CHANGE

There is no TOC template or standard approach. To elaborate a risk-informed TOC, UNICEF country offices and key child rights stakeholders should start at the end and work backwards, to identify the:

- long-term change that all stakeholders wish to see in the lives of children and families (impact-level change/result)
- several 'preconditions' (long- and medium-term results) that are necessary to not only achieve this change, but also to *protect this gain from the negative impacts of future shocks and stresses*, thus enhancing the resilience of children, families, communities, systems and institutions (outcome-level changes/results related to a change in the performance of institutions or the behaviour of individuals)
- specific short-term results that reflect a change in the capacities of duty bearers, including their capacity to reduce, mitigate or manage risk (output-level changes/results)
- key programme strategies that will move all partners in the direction of the long-term goal of resilient development (or specific inputs to the change process).

Key questions can help multi-stakeholder teams to determine the extent to which the TOC considers aspects of risk reduction in each of the four categories of the 10-determinant framework[7] of the UNICEF Monitoring for Results Equity System (MoRES)[8] (see **Table 1**). Often overlooked during the development of TOCs is the importance of considering individual behaviour change and larger changes in society, to ensure an enabling environment for resilience (see **Box 2**).

[5] The latest annual Quality Review is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/SitePages/Programme_Strategy_Notes.asp>, accessed 10 March 2018.
[6] Fox, Leslie M., Quality Review of UNICEF's 2017 Country Programme Documents, Review of a Sample of Programme Strategy Notes, and Analysis of Selected SN and CPD Cross-cutting Issues, Final Report, United Nations Children's Fund, 8 January 2018
[7] United Nations Children's Fund, The Determinant Analysis for Equity Programming, August 2014, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/:w:/r/teams/PD/MoRES/_layouts/15/WopiFrame.aspx?sourcedoc=%7B042c3397-e095-4f04-82af-ae1b794d26bf%7D&action=view&Source=https%3A%2F%2Fteams%2Eunicef%2Eorg%2Fsites%2FNYHQ01%2FOED%2FMoRES%2FDocument%20Library%2FForms%>, accessed 8 March 2018.
[8] The MoRES team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/MoRES/SitePages/MoRESCollab.aspx>, accessed 8 March 2018.

Although all TOCs should be risk-informed, it may be necessary to develop separate but complementary TOCs that focus specifically on risk reduction and on resilience to better illustrate the desired changes. In such cases, GRIP advises that complementary risk-informed TOCs should use the same starting point as TOCs developed for programme strategy notes. In the example of this presented below, the challenge is to ensure that the education sector better manages the impacts of armed conflict in country (see **Graphic 2**).

Table 1 - Key questions: Using the 10-determinant framework to elaborate a risk-informed theory of change

IMPACT-LEVEL CHANGE: Making a difference in the lives of children and women
Does the starting point or top result statement consider not only the achievement of the impact-level change, but also *how to protect this gain from the negative impacts of future shocks and stresses*? Or do the top three preconditions consider how shocks and stresses can deteriorate the impact-level change (through loss of life, injury, illness, damage to and loss of assets and/or livelihoods, and/or the displacement of children and families)?
Does the impact-level starting point and/or the trio of preconditions consider the groups that are both vulnerable and highly exposed to shocks and stresses? Are they *specifically targeted*?
OUTCOME-LEVEL CHANGES: Supply and quality dimensions
How must institutional performance change to ensure the *continuous supply and quality of services* during a crisis? For example: Has a means to ensure that critical *infrastructure, facilities and systems remain available* and intact in the event of shocks and stresses been identified?
Has the TOC considered what changes must happen to ensure the *availability of qualified/trained* staff during a crisis? What changes in institutional performance are necessary to protect human resources?
Does the TOC consider the *availability of information* in the specific sector before, during and after a crisis?
OUTCOME-LEVEL CHANGES: Demand dimension
Does the TOC consider the changes necessary to ensure that households continue to access and demand services during a crisis? Does the TOC consider how to *limit/reduce the financial burdens* of vulnerable and affected households during a crisis, thus ensuring their access to services?
Does the TOC consider the need for *behaviour change* (in terms of employing more environmentally friendly practices, methods for the peaceful resolution of conflict, health and hygiene seeking behaviours, etc.) that can reduce risks and vulnerabilities?
OUTCOME LEVEL: Enabling environment dimension
Do national policies, strategies and plans for disaster risk reduction, climate change and peacebuilding adequately consider the special needs, vulnerabilities and capacities of children? Does the TOC recognize that some adaptation at the policy level may be necessary to protect the desired impact-level change?
Does the TOC recognize that it may be necessary to move towards more child-friendly budgeting to protect children and families from the impacts of shocks and stresses? Or do current budgetary allocation processes fuel conflict and social unrest? What change must happen to address this issue?
Are there adequate *national requirements and standards to reduce risk*? (For example, are there standards for the construction of facilities and the disaster-proofing of public infrastructure, systems or schemes for children?) Are changes in institutional performance in enforcement necessary?
Does the TOC recognize the importance of *decentralized planning and budgeting*? Must there be a change in the performance of local government in terms of risk reduction, preparedness and contingency planning, in consideration of the special needs and vulnerabilities of children and other vulnerable groups?
How are social *norms affecting peace capacities* or the commitment to reduce the vulnerability of specific groups? Is there a civil society commitment to peace and are dispute resolution mechanisms present?
OUTPUT LEVEL: All dimensions
Does the TOC recognize what changes are necessary to ensure that institutions and local authorities have *increased capacities* (authority, motivation, resources) to change their performance? Does the TOC consider the capacities (knowledge, skills, tools and other resources) of children, parents or vulnerable groups?

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BOX 2 - COMMUNICATION FOR DEVELOPMENT IN RISK-INFORMED THEORIES OF CHANGE

Communication for Development (C4D) – a systematic, planned and evidence-based process to promote positive and measurable individual behaviour and social change – is an integral part of development programmes and humanitarian work. C4D uses research, evidence and consultative processes to promote human rights and equity, mobilize leadership and societies, enable community participation, build resilience, influence norms and attitudes, and change the behaviours of those who have an impact on children's well-being.

While behaviour change relates to the knowledge, attitudes and practices of individuals, social change takes into account the social norms and cultural systems that influence individual thoughts and actions. Even when positive change is realized among individuals, families and communities, higher-level power structures and policies can present barriers to social change. Ensuring effective and sustained change therefore calls for individuals to be supported to develop their knowledge, skills and opportunities, and for duty bearers at a range of levels to be supported to develop an enabling environment for change (including through the implementation of required laws, policies, systems and services).

C4D recognizes that any change in any society is affected by interdependent levels of influence on human behaviour within homes, in the community, at the organizational level and within the wider society. Every theory of change should consider the potential for C4D to bring people together as equals for positive change by:

- allowing meaningful participation and enabling individuals to have their own perspectives adequately reflected in decisions that affect their lives
- enabling access to the information, skills, technologies and processes required to solve problems
- empowering individuals to make informed choices, realize their human rights and reach their full potential.

C4D is critical to risk reduction and resilience. C4D can support participatory risk assessment and analysis and ensure that processes and programmes enhance individual coping behaviours, strengthen social support networks (including for emotional and psychological support) and ensure preparedness for crisis, thereby diminishing risks. In crisis, C4D ensures that relevant, culturally appropriate and action-oriented information is shared with people in affected communities and that they are able to provide feedback through mechanisms that enhance their influence and ownership, including for the most vulnerable groups.

Graphic 2 - Example of a risk-informed theory of change for the education sector

3. RISK-INFORMED PROGRAMMES

3.1 IDENTIFYING OPPORTUNITIES FOR RISK-INFORMED PROGRAMMING

Once the broader programming logic has been mapped out through the TOC, it becomes easier for UNICEF teams to identify specific change pathways in which they have a comparative advantage as a catalyst and source of support. The *UNICEF Results-based Management (RBM) Handbook* provides guidance on this prioritization process, suggesting that teams consider five 'filters' or factors – criticality, mandate, strategic positioning, capacities, and lessons learned – when making a decision about programmatic focus.[9] UNICEF is uniquely positioned to support risk-informed programming – something that is critical to consider in this process that focuses on comparative advantage (see **Box 3**).

BOX 3 - COMPARATIVE ADVANTAGES OF UNICEF IN RISK REDUCTION

UNICEF has several comparative advantages that make it essential that the organization plays an active role in joint, 'whole-of-government' approaches to disaster risk reduction and climate change adaptation:

- **UNICEF has strong relationships with technical line ministries** that support children's survival and development and can therefore be a critical catalyst in supporting national authorities to mainstream risk reduction programmes through the technical sectors, including health, nutrition, education, water and sanitation, and child protection, and the wider enabling environment for social inclusion.
- **UNICEF responds in a multi-sectoral manner**, addressing the interlocking issues that affect a child's well-being. The organization can consider holistically how to inform risk reduction programmes that affect multiple sectors and dimensions, to influence development outcomes and impacts.
- **UNICEF has a mandate that integrates development and humanitarian programming** and is thus present before, during and after a crisis, engaging at every stage of the humanitarian-development continuum. The organization is therefore well placed to promote risk reduction measures and to monitor their effects on resilience and peace.
- **UNICEF works upstream and downstream**. UNICEF not only influences national policy and budgetary frameworks, but also works in close proximity to communities that experience shocks and stresses, with many of its offices supporting actors to deliver community-based programmes. UNICEF is therefore an essential contributor to the evidence base that can further risk-informed programming and influence national decisions regarding the replication or scaling up of successful interventions.
- **UNICEF knows and talks to children**. UNICEF understands the potential for children to drive development processes and catalyse change. The organization also understands the risks involved in social exclusion and sees the danger of adolescents engaging in conflict and violence when their needs are not met and when their voices are ignored. UNICEF can support national authorities to recognize children as critical 'connectors' who can enable divided or 'at-risk' communities to work together towards a shared goal of peace and resilience.

Although all programmes should be risk-informed, every country and context is different. Opportunities for engagement will vary depending on the status of children, the risk landscape, the nature of the programming environment, and the strategic position and capacities of UNICEF. Generally, GRIP recommends that a commitment to fostering resilience and peace is commensurate with the country's risk profile. UNICEF country offices in nations rated as high-risk should therefore demonstrate a stronger, clearer and more proactive commitment to risk reduction in their programming and results structures.

[9] United Nations Children's Fund, *Results-based Management Handbook: Working together for children*, UNICEF, 2017, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/Shared Documents/RBM_Handbook_Working_Together_for_Children_July_2017.pdf>, accessed 10 March 2018.

In general, UNICEF risk-informed programming will either:

- **aim to ensure that national risk reduction, climate change adaptation and peacebuilding efforts are more child-sensitive**

The first route may involve:

- enhancing national capacities for child-centred risk analysis that integrates measures of socio-economic vulnerability and helps to better target the households, groups and communities most at risk
- supporting key national institutions and national authorities responsible for risk reduction, climate change adaptation and/or disaster management to consider the special needs, vulnerabilities and capacities of children in their international commitments and national policies, plans, budgets, protocols and procedures
- strengthening the capacities of local authorities that manage and regulate preparedness and first responders, to ensure more child-sensitive planning, preparedness and programming at the local level
- ensuring that disaster risk reduction, climate change and peacebuilding programmes are developed and implemented with the participation and engagement of children, adolescents and youth, making sure that their voices are heard and respected.

- **support technical line ministries and key stakeholders to ensure that child-sensitive programmes are more risk-informed**

The latter route may involve:

- ensuring that national ministries or institutions perform risk analysis specific to their sector, to consider how to better target those households or communities most at risk
- helping national authorities in health, nutrition, education, water and sanitation, child protection, and social inclusion and protection to adapt their policies, plans and budgets to consider the measures and resources necessary to ensure that systems can absorb or adapt to various shocks and stresses
- developing protocols, procedures, micro-plans and programmes to enhance shock-responsiveness and adaptation in the above sectors, so as to ensure the continuity and quality of services for children
- supporting children, adolescents and youth to engage in these processes and influence the analysis, design and implementation phases as appropriate.

Risk-informed programming naturally includes efforts to **strengthen national capacities for preparedness, crisis management and response**. The *Guidance Note on Preparedness for Emergency Response in UNICEF* provides additional guidance on identifying appropriate long- and short-term preparedness interventions, including contingency planning.[10]

Risk-informed programming is also not limited to development-oriented planning and programming that occurs before a crisis strikes. By applying the same principles within **humanitarian action**, risk analysis and risk-informed programmes help to broaden the focus from acute and urgent needs to chronic vulnerabilities and likely exposure to future shocks and stresses. This helps to integrate elements of capacity development and the reduction of extreme vulnerability into humanitarian action, thus ensuring more meaningful recovery for those affected by crisis and decreasing the risk of future crisis for all.

In **conflict-affected countries**, or countries facing serious challenges to social cohesion, the UNICEF *Conflict Sensitivity and Peacebuilding Programming Guide*[11] and the *Technical Note on Conflict Sensitivity and Peacebuilding in UNICEF*[12] suggest that UNICEF strategies and programmes should take a more explicit and systematic approach to peacebuilding. In such countries, it is critical for stakeholders to consider ways that UNICEF can support:

- 'vertical social cohesion' by enhancing state and society relations
- 'horizontal social cohesion' by building bridges within and among divided groups at the community level, paying attention to the nature of social exclusion and marginalization
- individual capacity building by helping individuals (including children, adolescents and youth) to anticipate, manage, mitigate, resolve and transform violent conflict, be resilient and engage in social change processes.

The UNICEF commitment to **equity and reaching the furthest behind first** is a key element of risk-informed programming in all countries and at every phase. Since exposure to shocks and stresses is clearly recognized as one of the primary determinants of inequity, focusing on the most 'at-risk' households and communities – and thus moving beyond deprivation to consider risk – is a way to sharpen the 'equity lens'.

[10] United Nations Children's Fund, *Preparedness for Emergency Response in UNICEF: Guidance Note 2016*, UNICEF, December 2016, available at <www.unicef.org/emergencies/files/UNICEF_Preparedness_Guidance_Note_29_Dec__2016_.pdf>, accessed 13 March 2018.
[11] United Nations Children's Fund, *Conflict Sensitivity and Peacebuilding Programming Guide*, UNICEF, November 2016, available at <http://s3.amazonaws.com/inee-assets/resources/Programming_Guide_-_Conflict_Sensitivity_and_Peacebuilding__UNICEF_Nov_2016.pdf>, accessed 17 February 2018.
[12] United Nations Children's Fund, *Technical Note on Conflict Sensitivity and Peacebuilding in UNICEF*, UNICEF, June 2012, available at <www.unicefinemergencies.com/downloads/eresource/docs/KRR/UNICEF Technical Note on Conflict Sensitivity and Peacebuilding.pdf>, accessed 19 February 2018.

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It is also important when designing risk-informed programmes to consider the different needs, vulnerabilities and capacities of children, adolescents and youth (and their caregivers) at each stage of their life course, from inception, through infancy and early childhood, to adolescence and youth (for an example, see **Box 4**).

BOX 4 - ADOLESCENT PARTICIPATION IN RISK-INFORMED PROGRAMMING

The principle of participation is enshrined in several international instruments. These include the United Nations Convention on the Rights of the Child, which has five articles (arts. 12–15, 17) that make explicit reference to the right of children to participate.[13] Also, the 2030 Agenda for Sustainable Development requires governments and development stakeholders to produce better quality age-disaggregated data and to engage adolescents in implementing and monitoring the Sustainable Development Goals.

Recognizing this, UNICEF applies a positive development approach that sees adolescents and youth as assets and not 'problems' or 'threats', and the organization builds on strengths such as their potential for innovation, creativity and energy. In fact, adolescents and youth are rightly recognized as potential 'accelerators', with the capacity to influence and change development trajectories for societies and nations.

Involving adolescents at all stages of programming, including the analysis of the situation and risk landscape, is a strategic priority.[14] The UNICEF *Programme Policy and Procedure Manual* notes that: "Children and adolescents are often much better placed than external duty-bearers to assess their own situation, and coming up with possible solutions."[15]

The participation of adolescents and youth in situation analysis, in policy advocacy and in programming processes can lead to improved intergenerational communication and empathy; more relevant, effective and sustainable programming and policies; and improved conditions for adolescents, thanks to the input, viewpoints and experiences of the participants.

[13] United Nations Children's Fund, Conflict Sensitivity and Peacebuilding Programming Guide, UNICEF, November 2016, available at <http://s3.amazonaws.com/inee-assets/resources/Programming_Guide_-_Conflict_Sensitivity_and_Peacebuilding__UNICEF_Nov_2016.pdf>, accessed 17 February 2018.
[14] A large body of policy materials for engaging adolescents in programming already exists. Examples include: Norwegian Agency for Development Cooperation, Three billion reasons: Norway's development strategy for children and young people in the south, NORAD, 2005; Swiss Agency for Development and Cooperation, Youth Policy, SDC, 2007; United Nations Population Fund, The Case for Investing in Young People as part of a National Poverty Reduction Strategy, UNFPA, 2005; Commonwealth Youth Programme, The Commonwealth Plan of Action for Youth Empowerment 2007–2015, Commonwealth Secretariat, London, 2007; Danida, Children and Young People in Danish Development Cooperation, Danida, Copenhagen, 2007; United Nations, World Youth Report 2007 Young People's Transition to Adulthood: Progress and Challenges, United Nations, 2007; United Nations Population Fund, UNFPA Framework for Action on Adolescents and Youth. Opening doors with young people: 4 keys, UNFPA, 2007; World Bank, World Development Report 2007: Development and the next generation, World Bank, Washington, D.C., 2006; and Africa Commission, Realising the Potential of Africa's Youth, Africa Commission, Copenhagen, 2009; all cited in SPW/DFID–CSO Youth Working Group, Youth Participation in Development: A Guide for Development Agencies and Policy Makers, DFID–CSO Youth Working Group, London, 2010, p. 14.
[15] United Nations Children's Fund, Programme Policy and Procedure Manual, UNICEF, (n.d.), is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/SiteAssets/Welcome%20to%20the%20Programme,%20Policy%20and%20Procedure%20Manual.aspx>, accessed 10 March 2018.

GRIP Module Nos. 5–11 contain sector-specific guidance and examples of successful country and regional programming around the world (for a few highlights, see **map inset on page 80**).

3.2 FORMULATING RISK-INFORMED RESULTS AND SELECTING APPROPRIATE INDICATORS

Once the general areas for collaborative programming have been identified, and the comparative advantages for UNICEF considered, multi-stakeholder teams should work together to apply the RBM approach and develop a results chain, with accompanying monitoring framework. A results chain should ideally have at least three levels to clarify the influence of UNICEF at the impact level, the organization's contribution at the outcome level and its accountabilities at the output level. Risk-informed results should be SMARTER – that is, strategic, measurable, aligned, realistic, transformative, empowering and reportable. For additional guidance on this process, consult the *RBM Handbook* (or see **Graphic 3**).

Graphic 3 - RBM refresher: Levels of results and SMARTER results statements

RBM Refresher: Levels of Results
IMPACT • Long term changes in the situation of children & women • Nationally owned
OUTCOME • Changes in behaviour or performance of targeted individuals or institutions • Quality & coverage of services • UNICEF contribute to these changes
OUTPUT • New products, skills, abilities & services • Changes in capacities of individuals or institutions • Attributable to programme funds & management - therefore high degree of accountability

RBM Refresher: SMARTER Results Statements	
S Strategic	presents an area of comparative advantage & relevant to context
M Measurable	the means for measuring change, improvement, transformation exist
A Aligned	with government & partner priorities - clear that we are in it with others
R Realistic	achievements must be possible, & even probable given the efforts planned
T Transformative	important, relevant, change - beyond the results themselves
E Empowering	aspirational with clear idea of what "good" will result. Moves people
R Reportable	actions taken & results show contribution toward higher level result

There are several ways in which results can represent a proactive commitment to reducing risks for children and vulnerable households and communities (see **Table 2**).

Table 2 - Results that represent a proactive commitment to reducing risks for children

Change to result statement	Example
Reflect the desired impact in terms of resilience and peace	UNICEF can contribute to strengthening the resilience of children and households, institutions and systems. It can also have the intention of building peace and fostering social cohesion. Ideally, the impact-level result should reflect this intention – through the result statement or indicators chosen. **EXAMPLES:** **Impact result statement:** Teams may choose a result statement that includes a commitment to resilience or peace, or select indicators that can, over time, demonstrate the increased resilience of vulnerable households, groups or systems. **EXAMPLE FROM UNICEF STRATEGIC PLAN:** The UNICEF Strategic Plan, 2018–2021[16] contains indicators aligned to the Sendai Framework for Disaster Risk Reduction 2015–2030[17] – e.g., tracking the number of children affected by disasters (related to Sendai B-1).

[16] United Nations Children's Fund, UNICEF Strategic Plan, 2018–2021, E/ICEF/2017/17/Rev.1, 16 August 2017, available at <www.unicef.org/about/execboard/files/2017-17-Rev1-Strategic_Plan_2018-2021-ODS-EN.pdf>, accessed 6 March 2018.
[17] United Nations Office for Disaster Risk Reduction, 'Sendai Framework for Disaster Risk Reduction 2015–2030', UNISDR, Geneva, <www.unisdr.org/we/inform/publications/43291>, accessed 28 February 2018.

Focus targets on the most at-risk populations, rather than on the general population or the most deprived

UNICEF results often target the most deprived populations. A 'risk-informed' result may, however, refer to the most at-risk populations (those that are both extremely deprived or vulnerable and disproportionately exposed to specific shocks and stresses). For conflict-affected countries, or those managing ongoing humanitarian action, this may involve focusing not only on affected populations that have urgent and acute needs, but also on those that are vulnerable and exposed but not yet experiencing crisis.

COUNTRY EXAMPLE:

- **Output result statement:** By 2022, government has enhanced the technical and institutional capacity to expand climate-resilient water, sanitation and hygiene (WASH) infrastructure and services in three of the states at greatest risk of flooding.
- **Output indicator:** Proportion of district development plans in the three high-risk states that include a commitment to and budget allocation for 'disaster-proofing' WASH facilities.
- **Output indicator:** Proportion of WASH facilities improved with UNICEF support that address vulnerabilities related to gender, gender-based violence and children with disabilities.

Ensure outcomes and outputs reflect a specific commitment to strengthening national performance in risk reduction

UNICEF can also support governments and a range of duty bearers to reduce risks by either changing their performance or their behaviour (outcome-level changes) or by enhancing their capacity to do so (output-level changes). These contributions can be reflected in the wording of the result statement or in the selection of indicators.

COUNTRY EXAMPLE:

Outcome result statement: Children in Indonesia's most at-risk provinces benefit from more child-sensitive national and local disaster risk reduction (DRR), emergency preparedness and response (EPR) and climate change adaptation (CCA) efforts.

- **Output indicator:** Increased child sensitivity of national-level policies, strategies and guidelines related to DRR, EPR and CCA.
- **Output indicator:** Strengthened commitment and capacity of sub-national authorities in two target provinces to plan and implement child-sensitive DRR, EPR and CCA efforts.
- **Output indicator:** Young people in selected communities participate to a larger degree in initiatives related to DRR and CCA.
- **Output indicator:** Women's informal and formal groups, including parent-teacher associations, are trained and engaged in supporting DRR and/or CCA processes.

EXAMPLE FROM UNICEF STRATEGIC PLAN:

Outcome indicator: Number of disruptions to: (a) educational services, and (b) health services attributed to disasters (Sendai D-6, D-7).

- **Output result:** Countries adopt policies, strategies and programmes that address risks related to disasters, conflict and public health emergencies.
- **Output indicator:** Number of countries with a child-sensitive national or local risk management plan addressing risks related to disasters, climate change, conflict, public health emergencies or other crises.

Expand definitions to note the commitment to risk reduction embedded within larger programming approaches and standards

UNICEF programmes reduce risks by reducing vulnerabilities and enhancing capacities. Sometimes, however, the organization's specific commitment to risk reduction gets 'buried' within a larger framework. For example, UNICEF may support the implementation or scaling up of programming approaches such as the child-friendly school, general health systems strengthening and/or a child protection system. Many other programmes focus on capacity building to help national authorities to meet minimum standards and established protocols and/or codes. Definitions for these approaches and standards are often neither context-specific nor do they check for conflict sensitivity or risk relevance. Aspects of risk reduction may therefore need to be added, clarified or 'unpacked' within the larger approach.

A risk-informed result may contain a definition within the monitoring framework of the programming approach that includes a benchmark related to risk reduction. For example, does the larger child-friendly school approach involve 'disaster-proofing' infrastructure? Does it emphasize the importance of contingency and preparedness plans developed by school management? Has climate change education been integrated into the school curriculum? Clearly highlighting the benchmarks and standards that relate to safety and risk reduction is an important means of mainstreaming the risk reduction approach.

COUNTRY EXAMPLE:

- **Output result statement:** Education officials in six target districts have improved capacity to meet, by 2021, the minimum standards outlined in the Child Friendly Schools Infrastructure Standards and Guidelines (CFSISG).
- **Output indicator:** Proportion of primary schools in six target districts that meet the minimum CFSISG standards.*

*__Indicator definition:__ CFSISG requires schools to meet four criteria: (1) Appropriate, sufficient and secure buildings **that are sufficiently protected against a range of hazards, meeting minimum standards for disaster risk reduction**; (2) A healthy, clean, secure and learner protecting environment; (3) A barrier-free environment that promotes inclusive access and the equal rights of every child; (4) Adequate and appropriate equipment to support the level of education.

The selection of indicators and targets will be influenced by many factors, including the specific result, the availability of existing data from national monitoring mechanisms, and the resources available for data collection. Ideally, indicators should be directly relevant, nationally owned, aligned to larger planning frameworks (such as national plans, the United Nations Development Assistance Framework, the UNICEF Strategic Plan and the Sustainable Development Goals) and feature in the results assessment module list of standard indicators. For general guidance on indicator selection, see the *RBM Handbook*. Valuable indicator menus are also included in sector-specific guidance such as the UNICEF *Risk-informed Education Programming for Resilience Guidance Note*.[18]

4. RISKS IN PROGRAMME IMPLEMENTATION

4.1 FORGING PARTNERSHIPS (AND WORK PLANS)

UNICEF may implement some activities directly but partnership is always essential. UNICEF usually partners with government departments or other entities, international or national civil society organizations, academic institutions and other United Nations agencies. For those programmes that aim to make risk reduction efforts more child-sensitive, UNICEF may reach beyond its traditional partnerships and consider collaborating with national disaster management agencies and ministries of environment, agriculture and interior – each of which may have independent risk analysis and risk reduction strategies that consider different shocks and stresses. UNICEF should engage in national risk reduction and climate change adaptation coordination forums and working groups to advocate for children.

As a multi-sectoral agency, UNICEF is well placed to promote cross-sectoral linkages in-house and between diverse areas such as food security, environmental resource management, climate change adaptation and social protection. A good example of such a partnership is the joint programme between UNICEF, the World Food Programme (WFP), the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP) and the World Health Organization (WHO) to address poverty, livelihoods, food security and the provision of basic social services in the Niger. Various multi-sectoral partnerships promote resilience and peace (for examples, see **map inset on page 80**).

When UNICEF partners with government, a work plan is developed to summarize the collaboration, steer the implementation process and authorize the exchange of resources. Programme Cooperation Agreements are used when partnering with civil society organizations. Memoranda of understanding may be employed when working with other institutions. All such agreements contain detailed and specific results frameworks that describe action on a project, annual, multi-year or rolling basis. They should thus serve as a means to operationalize the risk-informed programme and to ensure that partners make a proactive commitment to employ strategies for risk reduction. The development, implementation and monitoring of all types of work plans is undertaken with existing policies, procedures and guidance in mind. UNICEF offers templates for work plans as well as annual management plans.[19]

4.2 IDENTIFYING RISKS TO THE PROGRAMME

As described in GRIP Module No. 1, the nature of risk changes depending on the type of risk considered and the object of analysis. GRIP focuses primarily on **risks posed to children and vulnerable households and communities** (with children the object). Particularly when programmes are operationalized through work plans, it is also critical to consider how various shocks, stresses and larger threats can affect the capacity of actors to work effectively and **achieve their results as planned**. In this case, the programme itself is the object.

[18] United Nations Children's Fund, *Risk-informed Education Programming for Resilience Guidance Note*, UNICEF, forthcoming in 2018. For more information, see: United States Agency for International Development (USAID) Education in Crisis and Conflict Network, 'Guidance Notes and Manuals on Peacebuilding Programming', ECCN, <https://eccnetwork.net/resources/learning-for-peace/guidance-notes/>, accessed 14 March 2018.
[19] United Nations Children's Fund, *Programme Policy and Procedure Manual*, UNICEF, (n.d.), section 4.1, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/SiteAssets/Welcome%20to%20the%20Programme,%20Policy%20and%20Procedure%20Manual.aspx>, accessed 10 March 2018.

Risks to children and risks to the programme are defined and analysed differently (see **Table 3**). Considerations of how shocks, stresses and various threats in the programming environment affect the strategic, programmatic, financial and/or operational effectiveness of UNICEF as an enterprise are covered in the UNICEF Enterprise Risk Management in UNICEF policy and accompanying guidance.[20]

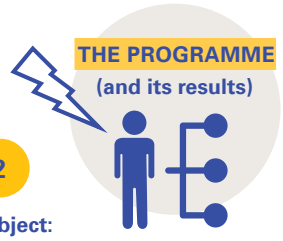
Table 3 - Risks to children versus risks to the programme

1

Subject:
A significant "contextual" shock or stress - like a cyclone

RISKS TO CHILDREN

- **Risk definition:** The likelihood of shocks and stresses leading to an erosion of development progress, the deepening of deprivation and/or humanitarian crisis affecting girls and boys and/or vulnerable households or groups.
- **Purpose: To determine WHAT to work on**
- The risk analysis helps to shape and design programmes that make a proactive commitment to resilience and peace – by reducing vulnerabilities, increasing capacities and reducing exposure to shocks and stresses. This is the process of '**risk-informing the programme**'.



2

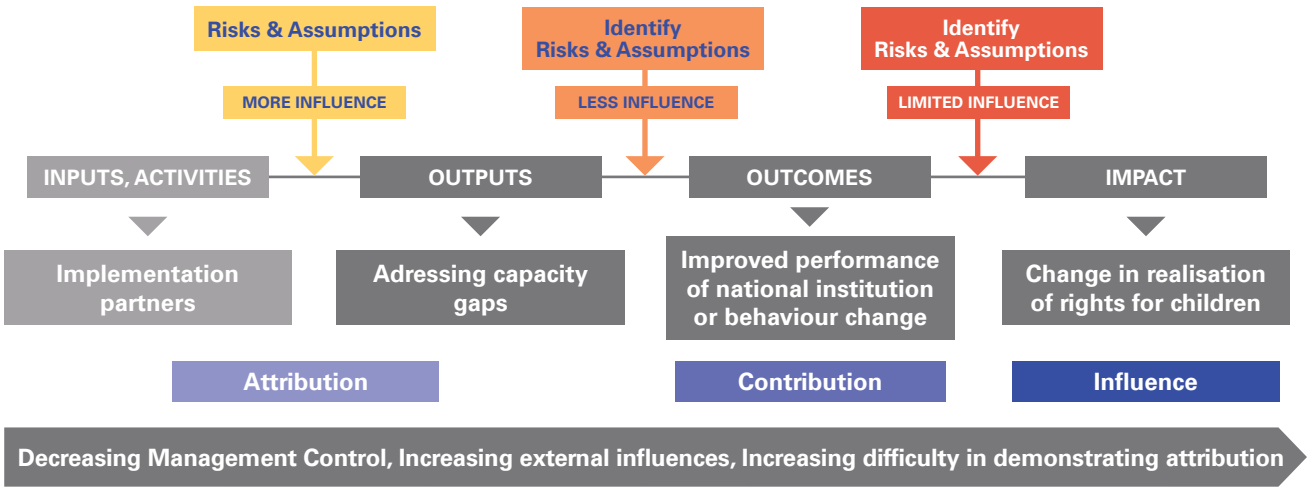
Subject:
Any potential threat to achievement of programme results - like a Cyclone

RISKS TO THE PROGRAMME

- **Risk definition:** The likelihood of a potential event or occurrence beyond the control of the programme adversely affecting the achievement of a desired result.
- **Purpose: To determine HOW best to work to be most effective**
- The risk analysis should help to design feasible programmes that Do No Harm and identify appropriate **mitigation measures** that enable actors to stay on track and continue to achieve their goals, despite the threats in the programming environment. This is '**programme risk management**', which is explained in the *Results-based Management Handbook*.[21]

As a part of the RBM process of elaborating TOCs and results chains, teams must identify the risks and assumptions that underpin the logic between different levels of results (impact, outcome and output level). This is the process of identifying risks to the programme (for a visualization of this, see **Graphic 4**). It is important to note that a single shock (such as a cyclone) can affect both children and the achievement of programme results. Some threats to the achievement of results may not pose a direct risk to children and vulnerable families, however. For example, an election may lead to a ministerial reshuffle, changing the focal points for engagement with UNICEF and potentially leading to delays in programme implementation – but it may not threaten the overall status of children and women.

Graphic 4 - Identifying risks and assumptions in a results chain



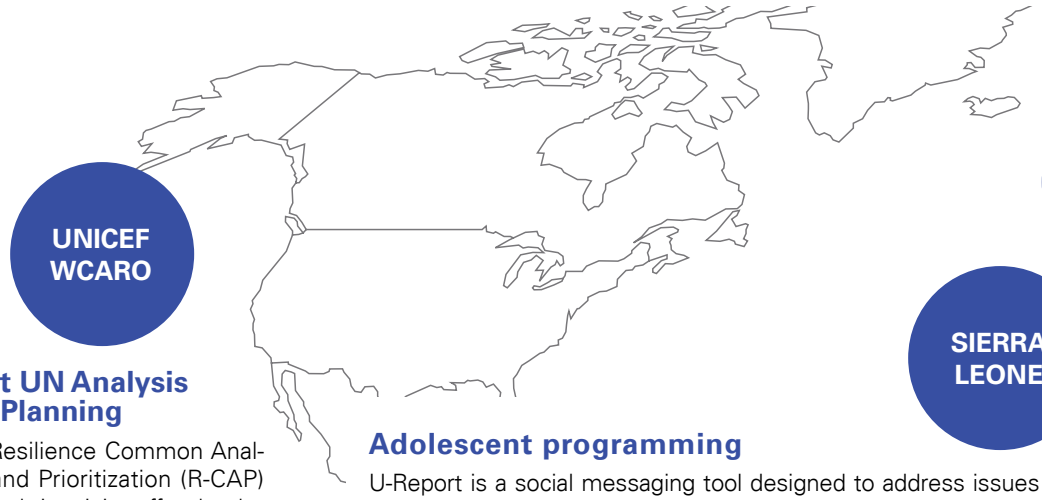
[20] United Nations Children's Fund, Enterprise Risk Management in UNICEF, CF/EXD/2009-006, 14 May 2009, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/RF/Regulatory%20Framework%20Library/DFAM%20Policy%2010%20Enterprise%20Risk%20Management%20in%20UNICEF.pdf>, accessed 10 March 2018.
[21] United Nations Children's Fund, Results-based Management Handbook: Working together for children, UNICEF, 2017, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/Shared Documents/RBM_Handbook_Working_Together_for_Children_July_2017.pdf>, accessed 10 March 2018.

GLOBAL EXPERIENCE

in risk-informed programming

Cash transfers for vulnerability reduction

Across the Middle East and North Africa (MENA) region, internally displaced persons and Syrian refugees face economic insecurity. During winter, families face daily struggles to meet food needs and other basic requirements. UNICEF originally addressed one basic need by providing winter clothing kits, but the programme subsequently evolved to monetize this seasonal assistance. Instead of in-kind assistance, a humanitarian cash transfer programme was developed, allowing households to address a range of vulnerabilities and make their own choices about how to meet priority needs. Cash assistance also reduced procurement and logistics costs for UNICEF while stimulating local economies. The experiences (in Egypt, Iraq, Jordan, Lebanon, State of Palestine, the Syrian Arab Republic and Turkey) offer valuable lessons on the implementation of humanitarian cash transfers (with consideration of various options, including unconditional cash grants, vouchers and other forms of assistance).



Joint UN Analysis and Planning

The Resilience Common Analysis and Prioritization (R-CAP) approach is a joint effort by the United Nations and the Organisation for Economic Co-operation and Development (OECD) to support United Nations Country Teams and governments to operationalize the 2030 Agenda for Sustainable Development recommendations, placing the understanding of risk and vulnerability at the centre. The UNICEF West and Central Africa Regional Office (WCARO) has played a leading role in the development of the R-CAP Operational Resource, which is a tool for analysis, prioritization and strategic planning during United Nations Development Assistance Framework processes. The multi-stakeholder process provides a method for reaching a common agreement on the structural drivers of risk and vulnerability; the priority long-, medium- and short-term actions to strengthen resilient systems; and the comparative advantages of humanitarian, development and governmental agencies in addressing priority actions in country. R-CAP emerges from the work of the United Nations Regional Resilience Working Group for the Sahel.

Adolescent programming

U-Report is a social messaging tool designed to address issues affecting children and young people by either collecting information directly from them (or their parents) to improve policy and programmes or by directly providing them with life-saving information. In humanitarian contexts, the tool can be used to support emergency response and collect real-time data from citizens and front-line workers. Following the 2017 floods in Sierra Leone, the UNICEF country office worked closely with water, sanitation and hygiene (WASH) line ministries to reveal that of the country's 75,000 U-Reporters, 51% could not identify the signs of cholera, 67% did not know how to treat it and 62% did not know how to prevent it. The country office then used U-Report to provide critical, life-saving information to these same 75,000 individuals. Six months later, in January 2018, a new poll found that the number of U-Reporters who now knew how to identify the symptoms of acute watery diarrhoea/cholera had increased by 19.6%.

Multi-country, risk-informed programming

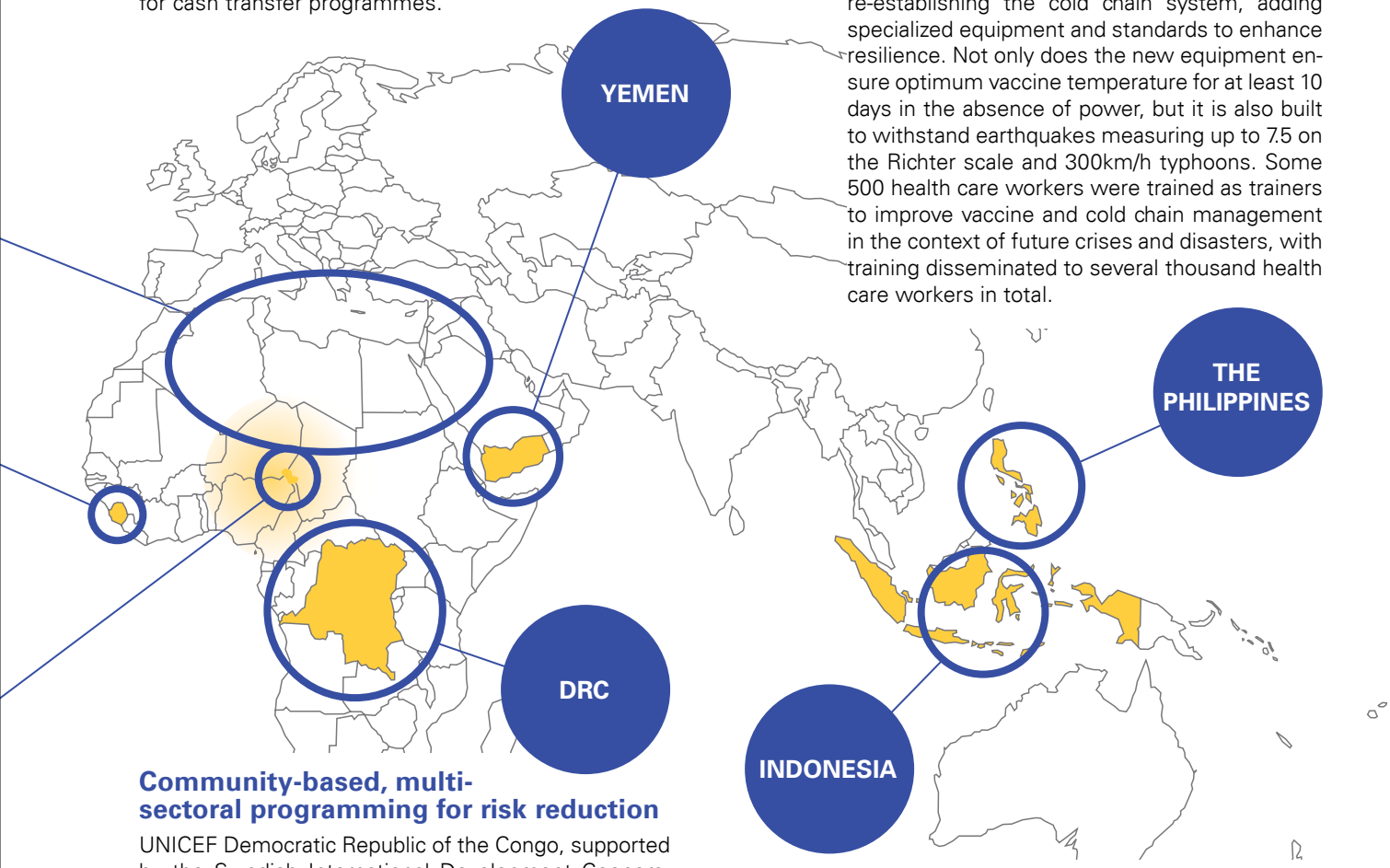
Since the 1990s, large, recurrent, trans-border epidemics of cholera have regularly occurred in the Lake Chad Basin, affecting Cameroon, Chad, the Niger and Nigeria. Migration between the countries makes it impossible for actions taken within the borders of a single country to be effective in preventing outbreaks in the region. Informed by a cross-border study and broad stakeholder consultation, UNICEF and partners identified the highest risk populations with consideration to insecurity, displacement and increasing water scarcity. To strengthen cross-border cooperation, UNICEF developed a database of actors across the four countries and supported the establishment of the West and Central Africa Cholera Platform for coordination and knowledge sharing. UNICEF also produces a regular regional 'Cholera Epidemiological Bulletin' and supports multi-country studies, exchange visits and informal workshops to interpret epidemiological surveillance data. UNICEF has also supported the development of national elimination plans that employ a 'sword and shield' approach to ensure both early and targeted emergency responses (sword) and prevention activities and health and behaviour change communication (shield).

Shock-adaptive social protection

UNICEF Yemen is reinforcing and strengthening national social protection systems to improve access to education and health care services, a protective environment and clean water during the complex emergency. UNICEF Yemen leveraged the findings of a National Social Protection Monitoring Survey to expand the current Social Welfare Fund (SWF) to reach 1.5 million of Yemen's poorest people and to increase the value of the grants by 50% in light of the deteriorating situation. UNICEF and partners, including the Ministry of Social Affairs and Labor (MoSAL), used an existing network of community-based SWF workers to reach the most vulnerable. SWF staff were trained to identify and link vulnerable persons and households to existing referral systems and a range of support services. MoSAL, UNICEF and partners are also carrying out vulnerability assessments to better understand the situation of families and children, and consider options for cash transfer programmes.

Resilient cold chains

Typhoon Haiyan, also known as Super Typhoon Yolanda, hit the Philippines in November 2013, affecting more than 18 million people and causing some 6,000 deaths. Damage to health facilities and the cold chain system; loss of health care providers due to death, displacement or personal tragedy; and the loss of electricity for several weeks, or even months, resulted in an abrupt halt to immunization services, leaving 2.5 million affected children at risk of disease and death. The Philippines experiences up to 20 typhoons every year, so building resilience is a national priority. In the post-Haiyan recovery phase, the Department of Health, UNICEF Philippines, UNICEF Supply Division and the World Health Organization undertook a systematic, step-by-step approach towards re-establishing the cold chain system, adding specialized equipment and standards to enhance resilience. Not only does the new equipment ensure optimum vaccine temperature for at least 10 days in the absence of power, but it is also built to withstand earthquakes measuring up to 7.5 on the Richter scale and 300km/h typhoons. Some 500 health care workers were trained as trainers to improve vaccine and cold chain management in the context of future crises and disasters, with training disseminated to several thousand health care workers in total.



Community-based, multi-sectoral programming for risk reduction

UNICEF Democratic Republic of the Congo, supported by the Swedish International Development Cooperation Agency, implemented a Programme of Expanded Assistance to Returnees (PEAR) between 2012 and 2016. PEAR targeted the most vulnerable communities in South Kivu province, through multi-sectoral interventions to: improve access to basic social services; foster social cohesion; and increase the resilience and capacities of communities to manage risk in their environment. Community members were trained in conflict resolution and supported to identify some 712 potential conflicts in 20 villages. Collective efforts enabled the prevention or resolution of about 446 of these conflicts. Community members also enhanced their capacities to identify risks in their environment, develop mitigation plans and strengthen resilience (20 risk reduction plans were developed implemented, monitored and validated by 20 school communities). Building on lessons learned in South Kivu, PEAR+ is now expanding to Ituri province.

Adolescent participation in risk identification

Since 2014, UNICEF and its partner organizations have been implementing the Adolescents in Emergency Project in Indonesia, using the Adolescent Kit for Expression and Innovation (Adolescent Kit) developed by UNICEF Headquarters. The Adolescent Kit is a package of resources to support adolescent girls and boys to develop key competencies that can help them to cope with stressful circumstances, build healthy relationships, learn new skills and engage positively with their communities. UNICEF used the Adolescent Kit Module to strengthen adolescents' resilience to disaster risks, build their skills and empower them to resolve the issues they face before, during and after a crisis. Using activity cards, adolescents mapped out the risks in their community and then identified the specific issues they face as a result of these risks. They came up with ideas to resolve such issues and then presented these ideas to leaders and members of the community for their further realization.

4.3 ADDRESSING RISKS TO THE PROGRAMME

When risks to the achievement of programme results are identified, either the programme can be adjusted or mitigation measures can be put in place at the implementation phase. Adjusting programmes to ensure their effectiveness is not impossible – even in a hazardous, risk-prone environment. In fact, UNICEF does it all the time, and as a result has well-developed risk management approaches (for a few examples, see **Table 4**).

Table 4 - Examples of how to protect the programme from the impacts of shocks and stresses

Suggestion for reducing risks to the programme	Links to guidance, resources and tools
Identify risks and prioritize mitigation measures in programme design	• Revisit the UNICEF Results-based Management Learning Package to understand the process of identifying and managing risks to the programme.[22] • Include key partners in risk analysis and planning, ensuring that work plans and Programme Cooperation Agreements have a section that identifies risks and mitigation measures. Integrate mitigation measures into **annual management plans and priorities** and ensure the periodic review of cross-sectoral and office-wide priorities for risk management, including through Country Management Team meetings and, potentially, Regional Management Team meetings.
Meet all institutional requirements for risk management (focused on the Emergency Preparedness Platform and Enterprise Risk Management in UNICEF policy)	• Revisit the overarching Enterprise Risk Management in UNICEF policy,[23] which summarizes the accountabilities, across different levels of the organization, in incorporating a systematic and consistent approach to identifying, assessing and managing risks and opportunities for the enterprise. In 2017, there was an update to the 12 UNICEF risk categories and key risk areas,[24] providing new opportunities to better articulate risks within the mandatory annual risk assessment process.[25] Ideally, there should be coherence between the assessment of the likelihood of shocks and stresses in the GRIP child-centred risk assessment and the estimation of the likelihood of the same hazards in the annual enterprise risk assessment (although impacts will differ since the enterprise risk management approach focuses primarily on risks to UNICEF as an enterprise). • Consult the *Guidance Note on Preparedness for Emergency Response in UNICEF*[26] and the Emergency Preparedness SharePoint site[27] to ensure a full understanding of the Minimum Preparedness Actions and Minimum Preparedness Standards for UNICEF country offices, regional offices and Headquarters. These mandatory actions and standards are designed to increase the organization's preparedness for emergency response. Being prepared will both reduce the risks to children and to the programme. The GRIP child-centred risk assessment methodology is designed to align with the requirements of the Emergency Preparedness Platform risk assessment.
Build flexibility and 'agility' into partnership agreements	• Review milestones and chronograms in light of seasonal hazards and potential 'triggers' for civil unrest or conflict, taking into account the impacts of shocks and stresses on the feasibility of activities, events and work processes. Adapt work plans and partnerships to accommodate these threats to programme effectiveness (e.g., by moving locations, adjusting time frames or building in mechanisms for remote collaboration from the start). • Build in more flexible implementation modalities that clarify expectations for partnership in both stable development phases and more dynamic or insecure humanitarian settings. Ensure that all staff have completed the Core Commitments for Children e-course[28] and have considered the requirements for humanitarian performance monitoring.[29]

[22] The Results-based Management (RBM) Learning Package includes an e-course, resources for face-to-face training sessions and workshops, and the *Results-based Management Handbook*. All of these resources, plus news and highlights, are accessible to UNICEF staff and consultants on the RBM Learning Package SharePoint site at <https://unicef.sharepoint.com/teams/OED/PPPManual/SitePages/RBM_Materials.aspx>, accessed 10 March 2018.
[23] United Nations Children's Fund, Enterprise Risk Management in UNICEF, CF/EXD/2009-006, 14 May 2009, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/RF/Regulatory%20Framework%20Library/DFAM%20Policy%2010%20Enterprise%20Risk%20Management%20in%20UNICEF.pdf>, accessed 10 March 2018.
[24] United Nations Children's Fund, 'Attachment A – Description of UNICEF risk categories and key risk areas, 2017', UNICEF, accessible to UNICEF staff and consultants at <https://intranet.unicef.org/Dfam%5CDFAMSite.nsf/0/4DE18A546BD6059E85257F4200691501/$FILE/12 Risk Areas 2017.docx>, accessed 10 March 2018.
[25] United Nations Children's Fund, Instruction for 2018 Annual Risk Assessment (ARA) Reporting Requirements, Effective date 26 December 2017, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/RF/Regulatory%20Framework%20Library/Instruction%20Annual%20Risk%20Assessment%20Requirments.pdf>, accessed 10 March 2018.
[26] United Nations Children's Fund, Preparedness for Emergency Response in UNICEF: Guidance Note 2016, UNICEF, December 2016, available at: <https://www.unicef.org/emergencies/files/UNICEF_Preparedness_Guidance_Note_29_Dec__2016_.pdf>, accessed 13 March 2018.
[27] The UNICEF Office of Emergency Programmes uses a single repository for all emergency preparedness and Emergency Preparedness Platform resources. The Emergency Preparedness SharePoint site includes developed/updated guidelines based on analysis of regional office and country office needs, lessons learned from emergencies, and good practices from external sources, agencies and research, and is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/EMOPS/EPP/Pages/Home.aspx>, accessed 10 March 2018.
[28] United Nations Children's Fund, 'Core Commitments for Children (CCCs)', Agora e-course, UNICEF, <https://agora.unicef.org/course/info.php?id=30>, accessed 10 March 2018.
[29] A full list of humanitarian performance monitoring webinars and training resources is accessible to UNICEF staff and consultants on the UNICEF Emergencies Humanitarian Action and Post-crisis Recovery team site at <https://intranet.unicef.org/emops/emopssite.nsf/root/PageCCCPM4>, accessed 10 March 2018.

Consider risks for women and men, and girls and boys in programme design and implementation	• Ensure that you are not exacerbating risks to women or men, or girls or boys through programming that is not fully gender-sensitive. Conduct a Gender Programmatic Review with the support of the toolkit,[30] and with reference to the Gender Action Plan[31] and the Gender Equality team site,[32] to consider how to be accountable for and further the organization's commitments to gender equality. This involves learning how to: ensure the use of high quality gender-sensitive data and evidence; forge strategic partnerships that further gender equality; invest resources to achieve results at scale for women and men, and girls and boys; build the capacity of gender specialists around the world; and increase diversity and gender parity in the organization. • UNICEF takes a 'twin-track' approach to gender programming, which applies to both development and humanitarian contexts – but it is critical that gender equality and gender-sensitive approaches are integrated into all humanitarian programmes. Complete the Gender in Humanitarian Action e-course to learn how gender-sensitive programming can translate into greater impact and enhanced protection for the people affected by crises, thus decreasing the risks for women and men, and girls and boys, and the risks to overall programme effectiveness.[33]
Assess and address the risk of sexual exploitation and abuse, and ensure accountability to affected populations	• Sexual exploitation and abuse of community members by anyone associated with the provision of aid constitutes one of the most serious breaches of accountability. It is also a serious protection concern and it erodes the trust and confidence of affected communities and the host country in all those providing assistance. Accountability to populations affected by crises and various shocks and stresses is an active commitment to use power responsibly by taking account of, giving account to and being held to account by the people whom UNICEF seeks to assist. • Ensure that your programmes are not inadvertently contributing to the risk of sexual exploitation and abuse, establish mechanisms for reporting, and participate in the PSEA Network in your country. The Global Standard Operating Procedures on inter-agency cooperation in community-based complaint mechanisms are practical tools for reporting.[34] • The United Nations Secretary-General report on Special measures for protection from sexual exploitation and abuse[35] and the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse (PSEA) are available on our own staff website[36] and offer a range of guidance, resources and good practices for meeting obligations as an individual staff member, as a PSEA focal point or as a senior manager. • All UN personnel have the obligation to report all reasonable suspicion of SEA by UN staff members as well as non-staff personnel immediately[37]. Please report to your Head of Office, to the Director of the UNICEF Office of Internal Audit and Investigations at integrity1@unicef.org, or PSEA Network in your country, without delay and by whatever means appropriate under the circumstances. • Take the Prevention of Sexual Exploitation and Abuse e-course[38] – it is mandatory for all United Nations personnel, including volunteers and contractors, whether based at Headquarters or other duty stations. Please also encourage partners to complete the training. The course provides a range of measures for combating sexual exploitation and abuse and explains their impact on victims and the consequences for United Nations personnel. Managers (heads of office/department) will learn about their additional responsibilities to enforce the United Nations standards of conduct, thereby reducing risks for children and the programme. • Be aware of UNICEF's own Policy on Conduct Promoting the Protection and Safeguarding of Children.[39] Visit the UNICEF intranet site that provides information on UNICEF's response to SEA.[40] A UNICEF PSEA SharePoint site is currently under development.[41]

[30] United Nations Children's Fund, Gender Programmatic Review Toolkit, UNICEF, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/Gender Programmatic Review.aspx>, accessed 8 March 2018.
[31] Resources related to the UNICEF Gender Action Plan (plan, indicator framework, presentations and infographics) are accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/The GAPaspx>, accessed 8 March 2018.
[32] The Gender Equality team site is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/PD/GAP/SitePages/Home.aspx>, accessed 8 March 2018.
[33] United Nations Children's Fund, 'Different Needs, Equal Opportunities: Increasing Effectiveness of Humanitarian Action for Women, Girls, Boys and Men', Agora Gender in Humanitarian Action e-course, UNICEF, <https://agora.unicef.org/course/info.php?id=113>, accessed 10 March 2018.
[34] Inter-Agency Standing Committee, Protection against Sexual Exploitation and Abuse (PSEA): Inter-agency cooperation in community-based complaint mechanisms. Global Standard Operating Procedures, IASC, May 2016, available at <https://interagencystandingcommittee.org/accountability-affected-populations-including-protection-sexual-exploitation-and-abuse/documents-51>, accessed 10 March 2018.
[35] United Nations General Assembly, *Report of the Secretary-General on Special measures for protection from sexual exploitation and abuse*: a new approach, A/71/818, 28 February 2017, available at: <https://undocs.org/A/71/818>, accessed 15 March 2018.
[36] Inter-Agency Standing Committee, Protection from Sexual Exploitation and Abuse (PSEA) by our own staff, available at: <www.pseataskforce.org>, accessed 10 March 2018.
[37] Sexual Exploitation and Abuse (SEA) in this context pertains to acts perpetrated by UN personnel (staff members, consultants, individual contractors, United Nations Volunteers, experts on mission and contingent members) as well as related personnel of UN implementing partners, including government.
[38] United Nations Children's Fund, 'Prevention of Sexual Exploitation and Abuse (PSEA)', Agora e-course, UNICEF, <https://agora.unicef.org/course/info.php?id=7380>, accessed 10 March 2018.
[39] United Nations Children's Fund, 'Policy on Conduct Promoting the Protection and Safeguarding of Children', Executive Directive, July 2016, accessible to UNICEF staff and consultants at https://intranet.unicef.org/pd/pdc.nsf/0/B91A2CD30AA64B2685257FE9007254A4/$FILE/CF%20EXD%202016%20006%20Child%20Safeguarding%20Policy.pdf, accessed 20 March 2018. tion-and-abuse/documents-51>, accessed 10 March 2018.
[40] United Nations Children's Fund, Icon (UNICEF intranet) 'UNICEF response to sexual exploitation and abuse', accessible to UNICEF staff and consultants at https://icon.unicef.org/iconhome/Pages/ED-Messages-Page.aspx, accessed 20 March 2018
[41] The UNICEF PSEA team site will be accessible to UNICEF staff and consultants at https://unicef.sharepoint.com/teams/PD/AAP_PSEA/SitePages/Home.aspx

Mitigate the risk of harassment, sexual harassment and abuse of authority in your own office	• Be aware of the organization's own Executive Directive on the Prohibition of harassment, sexual harassment and abuse of authority.[42] Visit the UNICEF intranet site that supports staff members to report misconduct and to access a range of policies, guidance and training related to the organization's commitment to integrity, ethical behaviour and the prevention of harassment, sexual harassment and abuse of authority.[43]
Manage risks in complex and high-threat environments	• Working in complex and high-threat environments is not business as usual. Managing risks to children, the programme and the enterprise (including staff) is a daily, if not hourly, process. A workshop facilitated by the UNICEF Office of Emergency Programmes may help teams to consider the policies, guidelines, tools and practices available to support, for example: protection of children and civilians; negotiation of access; working with non-state actors; and working in the context of United Nations integrated missions. Such a workshop can also support the use of the monitoring and reporting mechanism for grave violations of children's rights. • At the very start, conduct an assessment of programme criticality, with reference to the United Nations System Programme Criticality Framework[44] and the Programme criticality e-course.[45] It will be absolutely vital to implement some aspects of the programme, even given the security risks, and the assessment will help to identify those critical aspects. This helps to ensure that United Nations personnel do not take unnecessary risks and that they work only on those activities that are likely to make the greatest contribution to existing United Nations strategic results. • Take the United Nations Humanitarian Civil-Military Coordination e-course,[46] based on the United Nations Humanitarian Civil-Military Coordination Field Handbook, and apply its principles and approaches for working and coordinating with military actors in an emergency.
Meet requirements for addressing the impacts of climate change on children and for the 'greening' of UNICEF	• Consider the risks associated with a changing climate – not only for children, but also for UNICEF programmes and operations. Revisit the Executive Directive on Addressing the impact of climate change on children,[47] and identify opportunities for: advocacy and accountability (using the influence, reach and expertise UNICEF has to support governments to fulfil their commitments to protect children from the impacts of climate change); climate change adaptation through resilient development; climate change mitigation (including support for communities to transition to a low-carbon development pathway); and the 'greening' of UNICEF. Making smart choices to reduce the organization's environmental footprint in programmes and operations not only increases the likelihood of programme effectiveness, but also reduces risks to the enterprise.
Ensure the programme is 'conflict-sensitive' and can 'do no harm'	• Work with staff and stakeholders to foster greater recognition that, if not carefully calibrated, the targeting of beneficiaries, procurement of supplies, delivery of services, resettlement of displaced people and even the publication of research findings can have negative impacts on conflict dynamics. Integrate the Do No Harm principle into work plans and partnership agreements that entail conflict analysis. Consult the UNICEF *Conflict Sensitivity and Peacebuilding Programming Guide*[48] and use its proposed method for considering conflict dynamics and reducing the risk of violence by examining: the composition, characteristics and capacities of UNICEF personnel; UNICEF operations (supply, finance and human resources); and partnerships and communications practices.

[42] United Nations Children's Fund, Executive Directive on the Prohibition of harassment, sexual harassment and abuse of authority, CF/EXD/2012-007, 30 November 2012, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/EO/Document Library/10. Prohibition of Discrimination Harassment Sexual Harassment and Abuse of Authority.pdf>, accessed 11 March 2018.
[43] The UNICEF one-stop site for accessing policies, guidance, training and other resources related to integrity, ethics and the reporting of misconduct is accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/reportingmisconduct/?wa=wsignin1.0>, accessed 10 March 2018.
[44] United Nations System High-Level Committee on Management, United Nations System Programme Criticality Framework, Document prepared by the Programme Criticality Working Group, CEB/2013/HLCM/7, 25 February 2013, available at <www.unicefinemergencies.com/programmecriticality/story_content/external_files/Programme Criticality Framework 2013.pdf>, accessed 10 March 2018.
[45] United Nations, 'Programme criticality', e-course, <www.unicefinemergencies.com/programmecriticality/course.html>, accessed 10 March 2018.
[46] United States Institute of Peace, United Nations Office for the Coordination of Humanitarian Affairs and United States Agency for International Development, 'United Nations Humanitarian Civil-Military Coordination', e-course, USIP, <www.usipglobalcampus.org/training-overview/uncmcoord/>, accessed 10 March 2018.
[47] United Nations Children's Fund, Executive Directive on Addressing the impact of climate change on children, CF/EXD/2016-002, 10 March 2016, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/Communities/ESC/Lists/global UNICEF resources/Attachments/5/03.10.2016 Executive Directive Climate Change CF EXD 2016 2.pdf>, accessed 10 March 2018.
[48] United Nations Children's Fund, Conflict Sensitivity and Peacebuilding Programming Guide, UNICEF, November 2016, available at <http://s3.amazonaws.com/inee-assets/resources/Programming_Guide_-_Conflict_Sensitivity_and_Peacebuilding__UNICEF_Nov_2016.pdf>, accessed 17 February 2018.

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BOX 5 - UNICEF PRINCIPLES IN RISK MANAGEMENT (FROM THE UNICEF PROGRAMME POLICY AND PROCEDURE MANUAL)

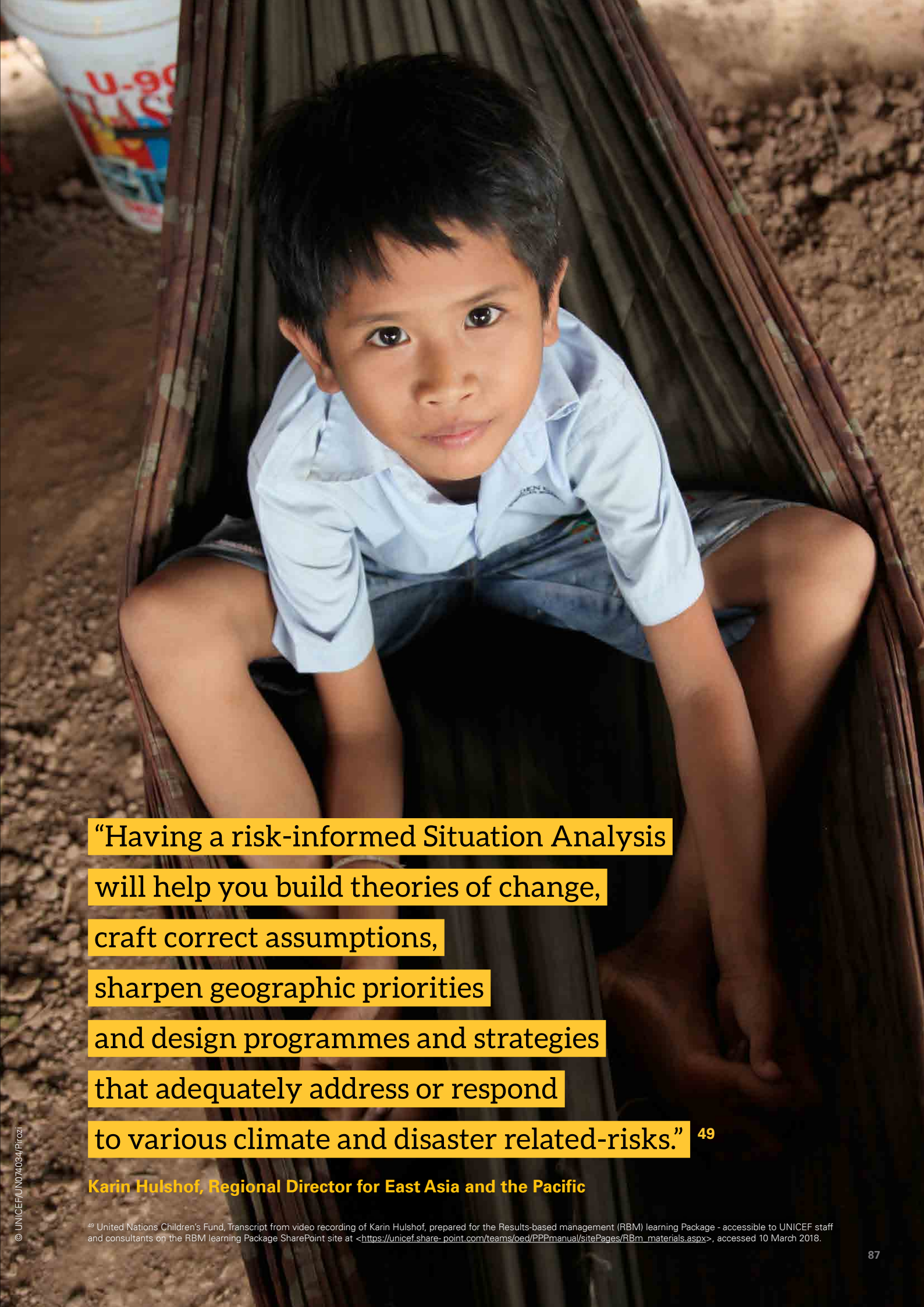
- **Risk management is everyone's business.** All staff members are expected to identify, assess and manage risks related to their area of work.
- **Accept no unnecessary risk.** There is no benefit in accepting any risk if it does not help to advance towards UNICEF objectives.
- **Accept risk when benefits outweigh costs.** The aim is not always to eliminate risk: total risk elimination would involve extensive controls and is costly, and walking away from risky situations would often be impractical and may not serve the UNICEF strategy and objectives.
- **Anticipate and manage risk by planning.** When developing strategies and office work plans, designing or reviewing programmes, or preparing for emergencies, consider risks to the achievement of the expected results. Risks are more easily mitigated when they are identified during planning.
- **Recognize opportunities.** Explore opportunities that may arise in support of the expected results and assess the risks related to such new interventions.
- **Take decisions promptly.** Avoiding or delaying decisions may exacerbate the problem or cause an opportunity to be missed, and in humanitarian situations may even lead to the loss of lives. Taking no decisions is a decision to default to the status quo; affirmative management of risks is critical to success.
- **Consider risks individually and in the aggregate.** Each risk should be evaluated on its own and in combination with other risks related to the same overall objective. The best strategy for the achievement of a major objective may involve a combination of different responses to risks related to contributing objectives.
- **Make risk management decisions at the right level.** Decisions on risks should be taken at the level of delegated authority; risks should not be assumed for which authority has not been received.
- **Embed risk management.** Risk management is a discipline that should be embedded into existing business processes.

5. ASSESSING PERFORMANCE

The following table can be used to evaluate team performance on developing risk-informed theories of change, results and programmes. The recommended scale for the evaluation is immediately below.

1	No, not at all
2	Not very much
3	Yes, moderately
4	Yes, to a great extent
5	Yes, to an exemplary level

QUALITY CRITERIA	SCALE				
	1	2	3	4	5
THEORY OF CHANGE (TOC)					
Does the TOC display a clear understanding not only of what changes are necessary to achieve broader, impact-level goals, but also of *how to protect those gains from the negative impacts of shocks and stresses*?					
Does the TOC contain specific references to how elements of systems (supply, demand and quality dimensions, and enabling environment) can protect against the negative impacts of shocks and stresses, thus supporting the resilience of individuals, households and communities?					
Has the TOC been developed with national counterparts and partners? Are their contributions to reducing risks and reinforcing resilience also noted in the TOC?					
RESULTS (as reflected in the Country Programme Document and programme strategy notes)					
Does the extent to which the Country Programme Document results integrate a commitment to risk reduction correspond with the country's relative risk rating (see **GRIP Module No.2**)? For high-risk countries: Is a commitment to risk reduction integrated into programme results and strategies?					
Do results (in the Country Programme Document or programme strategy notes) clearly identify any population subgroups that are most affected by key child deprivations and/or most at risk of disasters and other hazards?					
Have larger programme strategies been 'unpacked' to highlight the elements that support risk reduction?					
PARTNERSHIPS AND WORK PLANS					
Do partnership agreements and work plans consider the potential impacts of major shocks and stresses on the achievement of programme results?					
Do partnership agreements and work plans consider flexible implementation modalities that clarify expectations for partnership in both development and humanitarian settings?					
Is UNICEF participating meaningfully in relevant risk reduction coordination forums and advocating for consideration of the special needs, vulnerabilities and capacities of children?					
Has the programme been reviewed to consider conflict sensitivity and means to prevent sexual exploitation and abuse?					



"Having a risk-informed Situation Analysis will help you build theories of change, craft correct assumptions, sharpen geographic priorities and design programmes and strategies that adequately address or respond to various climate and disaster related-risks." [49]

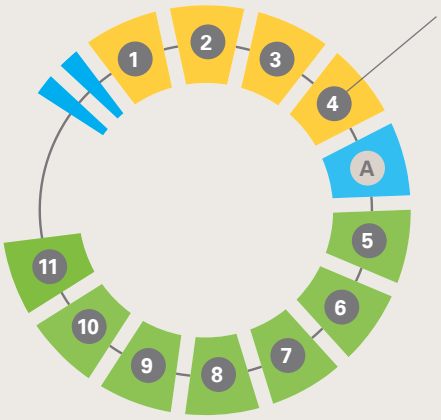
Karin Hulshof, Regional Director for East Asia and the Pacific

[49] United Nations Children's Fund, Transcript from video recording of Karin Hulshof, prepared for the Results-based management (RBM) learning Package - accessible to UNICEF staff and consultants on the RBM learning Package SharePoint site at <https://unicef.share- point.com/teams/oed/PPPmanual/sitePages/RBm_materials.aspx>, accessed 10 March 2018.

MODULE 4

MONITORING OF RISKS & RISK-INFORMED PROGRAMMES

MODULE 4: MONITORING OF RISKS & RISK-INFORMED PROGRAMMES



All the hyperlinks are active

CONTENTS FOR MODULE 4

OVERVIEW OF GRIP MODULES 3 AND 4

GRIP Module No. 3 uses the results-based management approach to help UNICEF and key child rights stakeholders to:

- develop or adjust theories of change that focus directly on the changes necessary to make children, families and systems more resilient to the impacts of shocks and stresses
- identify the comparative advantages that UNICEF has in peace and resilience programming, and develop child rights-focused, risk-informed programmes
- consider how to ensure that these programmes are risk-responsive themselves, so that they are effective even in a dynamic, risk-prone environment.

GRIP Module No. 4 is designed to:

- consider how to monitor changes in 'contextual risks' over time, recognizing the role of UNICEF in strengthening national monitoring systems
- clarify how UNICEF monitors performance in risk-informed programming
- link to UNICEF Office of Emergency Programmes guidance that can help teams to adapt their monitoring in medium- and high-risk contexts and to be more agile, thus supporting more rapid programme adjustments to shocks and stresses.

1. INTRODUCTION

1.1 WHAT IS MONITORING?

Monitoring is the process of gathering information for systematic and purposeful observation. For UNICEF, there are two different types of monitoring: **situation monitoring**, which measures the change or lack of change in the condition of children, women and the wider environment; and **programme monitoring**, which can provide valuable information about the extent to which progress is being made against programme results (results monitoring) and how that progress is being achieved (implementation monitoring).

Since both situation and programme monitoring are absolutely critical to programme effectiveness, efficiency and accountability (to national counterparts, donors, partners and beneficiaries), they are a core responsibility of all staff – from the UNICEF Representative to programme and operations specialists.

As a part of the regular work of the UNICEF Country Programme of Cooperation, all UNICEF country offices are expected to:

- undertake a range of monitoring activities across the spectrum of situation monitoring, results monitoring and implementation monitoring – to identify if inputs and activities are proceeding according to plan and contributing to the expected results, and if these are in turn contributing to improved outcomes and
- impacts for children and women
- design monitoring approaches and systems that are agile and can shift focus and operational modalities as needed – so that they may continue to provide information to guide programme management as the context changes
- play a role in strengthening national monitoring systems – by supporting national authorities to collect, manage, analyse and use relevant data and information relating to the status of children and women.

1.2 WHAT IS MONITORING OF RISKS AND RISK-INFORMED PROGRAMMES?

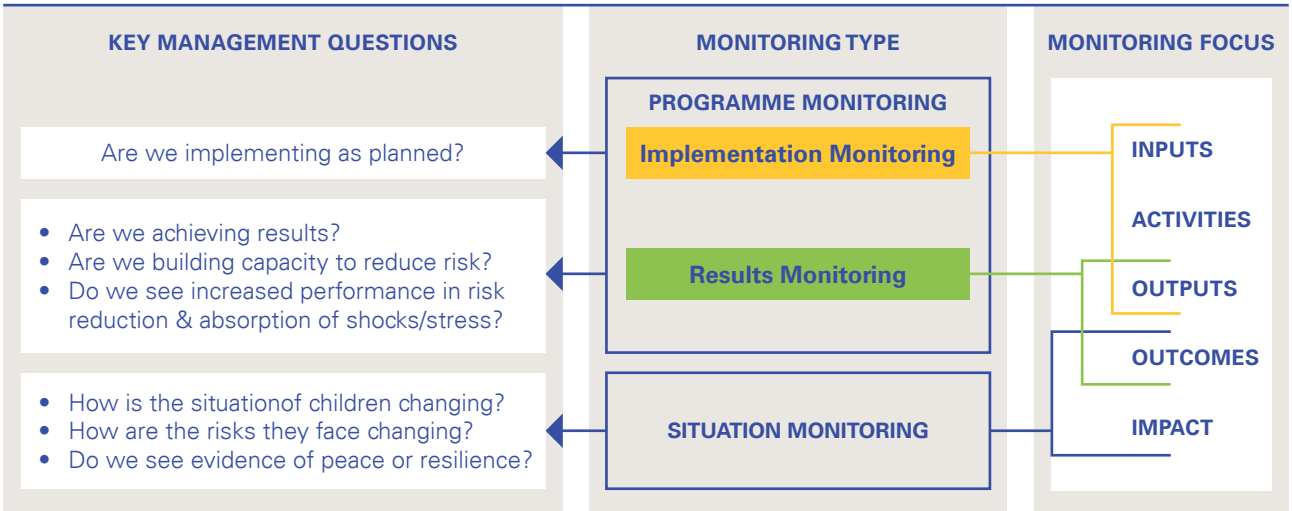
When programming is risk-informed, a different lens is applied to each of the two levels of monitoring:

- monitoring the situation of children and women entails *identifying and tracking changes in contextual risks to their situation*
- programme monitoring involves defining and tracking indicators that reflect a theory of change where results *contribute to reducing these contextual risks to children and women* (by reducing vulnerabilities and/or by strengthening capacities to absorb or adapt to various shocks and stresses).

Monitoring for risk-informed programming must therefore consider slightly different management questions to those traditionally considered in situation and programme monitoring. These include:

- How is the situation of children and women changing, *including in terms of shifts in the wider context of risks that can lead to a deepening of deprivation, an erosion of development progress or humanitarian crisis*?
- Are we achieving results as planned, *including for those elements of programming that build resilience and social cohesion by reducing risk*?
- An example of the key management questions for child rights stakeholders to ask, adapted from the UNICEF *Results-based Management Handbook*, is presented below (see **Graphic 1**).[1]

Graphic 1 - Key management questions for monitoring of the situation and programme



2. RISK-INFORMED SITUATION MONITORING

2.1 MONITORING CHANGES IN CONTEXTUAL RISKS

GRIP Module No. 2 describes a process of risk analysis and suggests various methods for pulling together data on each variable of the risk formula, including the likelihood and severity of potential shocks and/or stresses; the exposure of children, and key infrastructure and systems that support their survival and development, to these shocks and stresses; the vulnerabilities of children and households; and the capacities that might aid absorption of or adaptation to shocks and stresses. As one dimension shifts, the overall risk analysis shifts. It is thus important to consider any change in the risk formula variables and also the pace of that change (see **Table 1**).

[1] United Nations Children's Fund, *Results-based Management Handbook: Working together for children*, UNICEF, 2017, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/teams/OED/PPPManual/Shared Documents/RBM_Handbook_Working_Together_for_Children_July_2017.pdf>, accessed 10 March 2018.

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When monitoring risk, it is essential to start with a strong monitoring framework that anticipates the frequency with which methods of verification will be updated. To track changes over time, data and information must be comparable at each interval, which requires the standardization of data collection methods. Monitoring strategies should anticipate the availability of data and information for either faster-paced monitoring (for dynamic, high-risk environments) or slower-paced monitoring. They should also anticipate the pace of change on the ground – for example, there may be sharp changes in impact and outcome indicators between years, between seasons or even between months, depending on the context.

It is also important to clarify the expectations placed on UNICEF country offices:

- UNICEF country offices are **not expected to undertake, or lead in supporting national governments to carry out, detailed specialist data collection in relation to specific shocks and/or stresses.** As outlined in GRIP Module No. 2 and the annex, a wide range of global, regional and national specialist bodies is involved in generating such data, whether seismological data, climate and weather pattern data, or data on conflict trends.

- As per the UNICEF Procedure on Preparedness for Emergency Response, it is expected that "**Country Offices monitor the risks regularly, at least every six months,** to identify changes in the risk profile – a light process using external information sources and collaborating with interagency and government as feasible. The timing of the risk monitoring is aligned with the CO Work Plan review schedule."[2]

- UNICEF country offices in medium- to high-risk countries are expected to develop and maintain awareness and understanding of the most up-to-date specialist data sources on likely shocks, stresses and threats relevant to the country's risk profile. Since specialist knowledge is often required to convert data from such sources (usually those related to hazards and exposure) into a usable form for child-centred risk analysis, country offices are encouraged to seek external support or forge appropriate partnerships to access usable data and information in a timely manner.

[2] United Nations Children's Fund, UNICEF Procedure on Preparedness for Emergency Response, EMOPS/PROCEDURE/2016/001, Effective date 30 March 2018, accessible to UNICEF staff and consultants at <https://unicef.sharepoint.com/sites/portals/RF/Regulatory%20Framework%20Library/UNICEF%20Preparedness%20Procedure%2029%20Dec%202016.pdf>, accessed 8 March 2018.

Table 1 - Tracking changes to each variable in the risk formula

Shocks & stresses	• Although shocks and stresses change in likelihood and severity at different speeds, they generally have the potential to be the fastest-changing dimension in the risk formula. • Early warning monitoring systems can play a role in hazard monitoring, but the most sensitive systems are usually the most specialized, and so focus on only one specific hazard. Of the data sources listed in the GRIP annex, the most sensitive include those focused on weather patterns, seismological risks and conflict. • Specialist knowledge is often required to interpret and convert into a usable form data taken from national data sources (e.g., seismological and climate-related data sources) for use in the risk analysis. UNICEF country offices are therefore encouraged to seek external support and/or work with partners to access, in a timely manner, usable information on changes in shocks and stresses, as required. • Monitoring of stresses can be slower and should consider the accumulation of negative impacts and the potential to reach a 'tipping point', potentially following a trigger event.
Exposure	• This variable is most closely linked to population size and location, and generally changes more slowly than other variables, except where there are mass population movements. • Monitoring exposure may entail updating population estimates using census data and/or adapted studies that take into account migration, seasonal migration, etc. It may also involve tracking changes in the location of key infrastructure and services for children. • UNICEF can play a role in drawing attention to deprived or socially marginalized groups that are often 'hidden' or overlooked in sampling frameworks, by ensuring that the analysis of exposure considers the risks faced by individuals and groups irrespective of whether they live in urban centres, rural areas or a combination of both (recognizing populations on the move).
Vulnerabilities & capacities	• UNICEF staff are most familiar with vulnerability monitoring. The pace of change in vulnerabilities is generally slower than in other variables, except in the event of a major shock or population shift, when vulnerabilities are usually exacerbated. • Generally, monitoring data for vulnerabilities and capacities are updated at intervals related to the production of credible sector performance reports (usually on an annual basis, drawing on administrative data sources) or in line with the implementation of national household surveys (every three to five years). There have been efforts to make surveys such as the Multiple Indicator Cluster Survey (MICS) available more frequently, and following major crises and disasters, to provide a rapid means of verifying the impacts of shocks and stresses on multiple deprivations facing girls and boys, and women and men while ensuring comparability with data from previous surveys (see *section 2.2.1*).

2.2 STRENGTHENING NATIONAL CAPACITIES FOR MONITORING RISKS AND RISK-INFORMED PROGRAMMES

UNICEF can play a role in strengthening national capacities for monitoring risks and risk-informed programmes by:

- strengthening the capacity for monitoring and reporting progress towards the goals and targets of the 2030 Agenda for Sustainable Development, with consideration of the potential impacts of crisis
- advocating for the increased availability of disaggregated data and increased use of child-sensitive indicators in national risk assessments and analyses.

2.2.1. STRENGTHENING MONITORING AND REPORTING ON THE 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT

The 2030 Agenda includes 17 Sustainable Development Goals (SDGs) that address the social, economic and environmental dimensions of sustainable, resilient development. Attached to the SDGs are 169 concrete targets, measurable against 230 specific indicators. Some 50 of these indicators are directly related to children and more than 25 are related to disaster risk reduction. Goal 16 is also directly related to peace and justice. The Sendai Framework for Disaster Risk Reduction 2015–2030 also includes a set of indicators for seven global targets, which align to the disaster-related targets of the SDGs, thus ensuring harmonization.[3]

[3] PreventionWeb, 'Sendai Framework Indicators', United Nations Office for Disaster Reduction, Geneva, <www.preventionweb.net/drr-framework/sendai-framework-monitor/indicators>, accessed 17 February 2018.

Monitoring of both the SDG targets and the Sendai Framework global targets is subject to national capacity and data quality and accessibility. Recognizing this, UNICEF plays a key role in strengthening national monitoring systems to make reporting on the 2030 Agenda possible. As the custodian or co-custodian of 17 SDG indicators, UNICEF supports countries to: develop international standards and methodologies for measurement and data collection; establish mechanisms for the compilation and verification of national data; maintain global databases; and generate, analyse and use the data related to the 17 indicators.

By improving national capacities to monitor impact- and outcome-level SDG targets, UNICEF is also increasing the likelihood of having accurate, standardized and comparable data for tracking changes in vulnerabilities and capacities over time and between countries. This can, in turn, strengthen the monitoring of risks.

Since their inception in 1995, the Multiple Indicator Cluster Surveys (MICS) have become the largest source of statistically sound and internationally comparable data on women and children worldwide, and they are therefore a critical tool for national governments to ensure sound monitoring and reporting on the 2030 Agenda. In recent years, there have been promising efforts to develop a 'post-emergency MICS' to measure the impacts of humanitarian crisis on child deprivations. The adapted MICS modules, piloted in Indonesia, Malawi, Nepal and Pakistan, do this by comparing 'affected' and 'not-affected' households within the same administrative area and linking 'emergency affectedness' to the concept of 'current well-being', as measured in the standard MICS. This work can help all child rights stakeholders to better understand how shocks and stresses affect existing vulnerabilities and deprivations, and what household characteristics act as absorptive and adaptive capacities in practice.

2.2.2. ADVOCATING FOR A CHILD-SENSITIVE LENS AND DISAGGREGATED DATA

Although UNICEF is the custodian or co-custodian of 17 SDG indicators, the organization has no designated role in supporting the collection of data for indicators related to disasters, conflict or crisis. The potential for SDG monitoring to drive change for children and vulnerable groups, however, depends on countries fulfilling their commitment that "SDG indicators be disaggregated, where relevant, by income, sex, age, race, ethnicity, migratory status, disability and geographic location, or other characteristics."[4] Therefore, UNICEF country offices should play an active role in advocating for disaster- and risk-related data to be adequately disaggregated according to the main determinants of inequity, thus making it possible for situation and programme monitoring to focus on the most vulnerable groups. Country offices should advocate for such disaggregation among the national statistics offices and major development partners who hold such data.

BOX 1 - SENDAI FRAMEWORK: THE NEED FOR DISAGGREGATED DATA

The Sendai Framework for Disaster Risk Reduction 2015–2030, introduced in 2015 by the participants of the Third UN World Conference on Disaster Risk Reduction, is the global agreement that guides efforts to reduce the loss of lives and assets related to disasters.[5] Its monitoring framework provides a set of indicators for disaster-related mortality and morbidity and missing persons due to shocks and stresses – as well as for damage to critical infrastructure (schools and hospitals) and disruptions to services (education and health).[6] All indicators are aligned to Sustainable Development Goal indicators.

Paragraph 19(g) of the Sendai Framework calls for specific attention to be paid to factors such as income, sex, age and disability in disaster risk reduction. *The Sendai Framework Data Readiness Review 2017: Global Summary Report*,[7] however, suggests that for the number of:

- disaster-related deaths and missing, injured or ill persons attributed to disasters, less than 66 per cent of countries disaggregate data by *age and sex*; less than 31 per cent disaggregate data by *disability*; and less than 15 per cent disaggregate data by *income group*
- people affected by disaster-related damage and disruptions (including dwellings damaged, livelihoods disrupted, health and education facilities damaged or destroyed, or education services disrupted), less than 60 per cent of countries disaggregate data by *age and sex*; less than 34 per cent disaggregate data by *disability*; and less than 17 per cent disaggregate data by *income group.*

[4] United Nations Economic and Social Council, Report of the Inter-Agency and Expert Group on Sustainable Development Goal Indicators, E/CN.3/2016/2, 17 December 2015, available at <https://unstats.un.org/unsd/statcom/47th-session/documents/2016-2-IAEG-SDGs-E.pdf>, accessed 14 March 2018.
[5] PreventionWeb, 'Sendai Framework for Disaster Risk Reduction 2015–2030', United Nations Office for Disaster Reduction, Geneva, <www.unisdr.org/we/inform/publications/43291>, accessed 28 February 2018.
[6] PreventionWeb, 'Sendai Framework Indicators', United Nations Office for Disaster Reduction, Geneva, <www.preventionweb.net/drr-framework/sendai-framework-monitor/indicators>, accessed 17 February 2018.
[7] United Nations, Disaster-related Data for Sustainable Development, Sendai Framework Data Readiness Review 2017: Global Summary Report, United Nations Office for Disaster Risk Reduction, available at <www.unisdr.org/files/53080_entrybgpaperglobalsummaryreportdisa.pdf>, accessed 17 February 2018.

BOX 2 - THE POWER OF DISAGGREGATED DATA: GENDER AND NATURAL DISASTER

As described in GRIP Module No. 2, it is clear that fatality rates for women in natural disasters are much higher than for men, due in large part to gendered differences in capacity to cope with shocks and stresses.[8] For example, women accounted for 61 per cent of fatalities caused by Cyclone Nargis in Myanmar in 2008 and 70–80 per cent of fatalities in the 2004 Indian Ocean tsunami.[9]

The 1991 cyclone and flood in Bangladesh, where the death rate for women was almost five times that of men, provides a pertinent example. It was found that one of the most critical factors related to the high mortality of women was that early warning information was transmitted by men to men in public spaces – and it was rarely communicated to the rest of the family. As many women in Bangladesh are often only permitted to leave the home in the company of a male relative, many perished waiting for their menfolk to return home and take them to a safe place.[10]

To avoid such catastrophes in future, it is critical that risk analysis focuses on the most vulnerable and that programmes are designed with the aim of reaching these groups. UNICEF can play a critical role in working with national authorities (e.g., national statistics offices and technical line ministries) and development partners (such as the United Nations Development Programme) to ensure that sampling frameworks, data collection processes and risk analysis are designed with an understanding of social networks, power relationships and gender roles in order that they may answer the most pertinent questions concerning the most vulnerable groups.

As mentioned in GRIP Module No. 2, UNICEF can also play a strong role in supporting national authorities to consider the special needs and vulnerabilities of children within national risk assessment methodologies, and also the capacities set out in their risk reduction plans to ensure the survival and development of children. UNICEF can also work with less traditional partners such as national disaster management agencies and ministries of environment, agriculture and interior to advocate for the inclusion of more child-sensitive indicators in their existing risk assessment and analysis methodologies. (For good examples of innovations in supporting national authorities to strengthen the monitoring of risks and risk-informed programmes, see **map inset on page 96**).

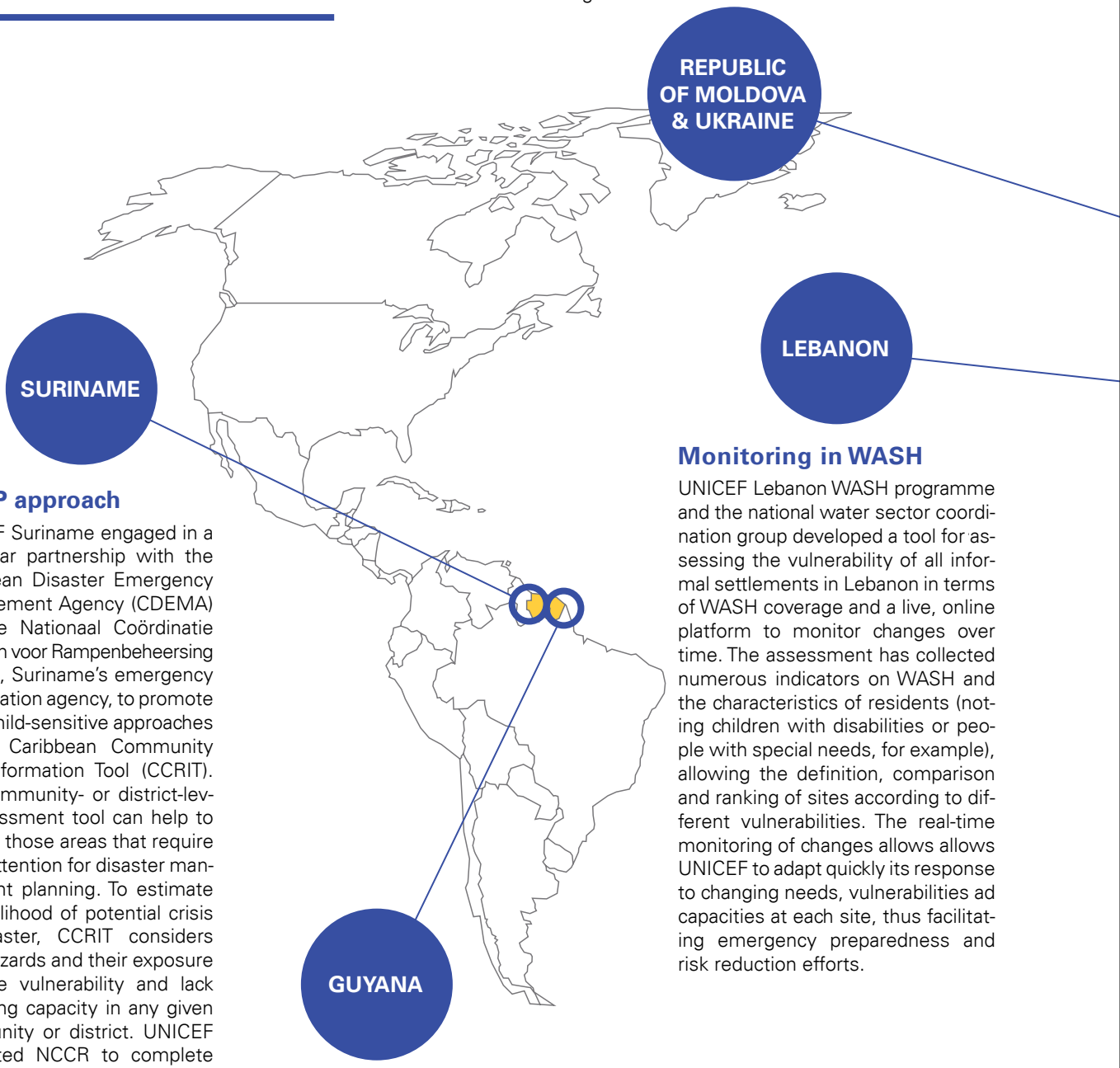
[8] Ikeda, K., 'Gender Differences in Human Loss and Vulnerability in Natural Disasters: A Case Study from Bangladesh', Indian Journal of Gender Studies, vol. 2, no. 2, 1995, pp. 171–93; Neumayer, Eric, and Thomas Plümper, 'The gendered nature of natural disasters: the impact of catastrophic events on the gender gap in life expectancy, 1981–2002', *Annals of the Association of American Geographers*, vol. 97, no. 3, 2007, pp. 551–566; and Oxfam, 'The Tsunami's Impact on Women', Oxfam Briefing Note, Oxfam International, March 2005; as cited in Habtezion, Senay, 'Gender and disaster risk reduction', Gender and Climate Change Asia and the Pacific Policy Brief No. 3, United Nations Development Programme, New York, 2013, available at <www.undp.org/content/dam/undp/library/gender/Gender and Environment/PB3-AP-Gender-and-disaster-risk-reduction.pdf>, accessed 17 February 2018.
[9] Castañeda, I., and S. Gammage, 'Gender, Global Crises, and Climate Change', in Jain, D., and D. Elson (eds.), *Harvesting Feminist Knowledge for Public Policy*, SAGE Publications India, New Delhi, 2011; as cited in Habtezion, Senay, 'Gender and disaster risk reduction'.
[10] Röhr, U., 'Gender and Climate Change', Tiempo, issue 59, 2006, as cited in Habtezion, Senay, 'Gender and disaster risk reduction'.

GLOBAL EXPERIENCE

Global experience and good practice

Social cohesion index

UNICEF has participated in the development of the Social Cohesion and Reconciliation (SCORE) Index in several countries including the Republic of Moldova and Ukraine. The SCORE index was designed to track changes in social cohesion and reconciliation in multi-ethnic societies. The United Nations Development Programme (UNDP) Action for Co-operation and Trust in Cyprus and the Centre for Sustainable Peace and Democratic Development developed the tool, with financial support from the United States Agency for International Development (USAID) and technical inputs from a range of partners including UNICEF.



R-CAP approach

UNICEF Suriname engaged in a triangular partnership with the Caribbean Disaster Emergency Management Agency (CDEMA) and the Nationaal Coördinatie Centrum voor Rampenbeheersing (NCCR), Suriname's emergency coordination agency, to promote more child-sensitive approaches to the Caribbean Community Risk Information Tool (CCRIT). This community- or district-level assessment tool can help to identify those areas that require more attention for disaster management planning. To estimate the likelihood of potential crisis or disaster, CCRIT considers both hazards and their exposure and the vulnerability and lack of coping capacity in any given community or district. UNICEF supported NCCR to complete the CCRIT tool, with consideration of child-centred vulnerability indicators (factoring them into the calculation of the risk index), and to conduct a child-centred CCRIT in all 10 sub-national districts. These efforts enhance the capacity of NCCR to consider the special needs, vulnerabilities and capacities of children in disaster management planning and to track progress over time.

Monitoring in WASH

UNICEF Lebanon WASH programme and the national water sector coordination group developed a tool for assessing the vulnerability of all informal settlements in Lebanon in terms of WASH coverage and a live, online platform to monitor changes over time. The assessment has collected numerous indicators on WASH and the characteristics of residents (noting children with disabilities or people with special needs, for example), allowing the definition, comparison and ranking of sites according to different vulnerabilities. The real-time monitoring of changes allows allows UNICEF to adapt quickly its response to changing needs, vulnerabilities ad capacities at each site, thus facilitating emergency preparedness and risk reduction efforts.

Regional risk profiles, and pre- and post-shock monitoring

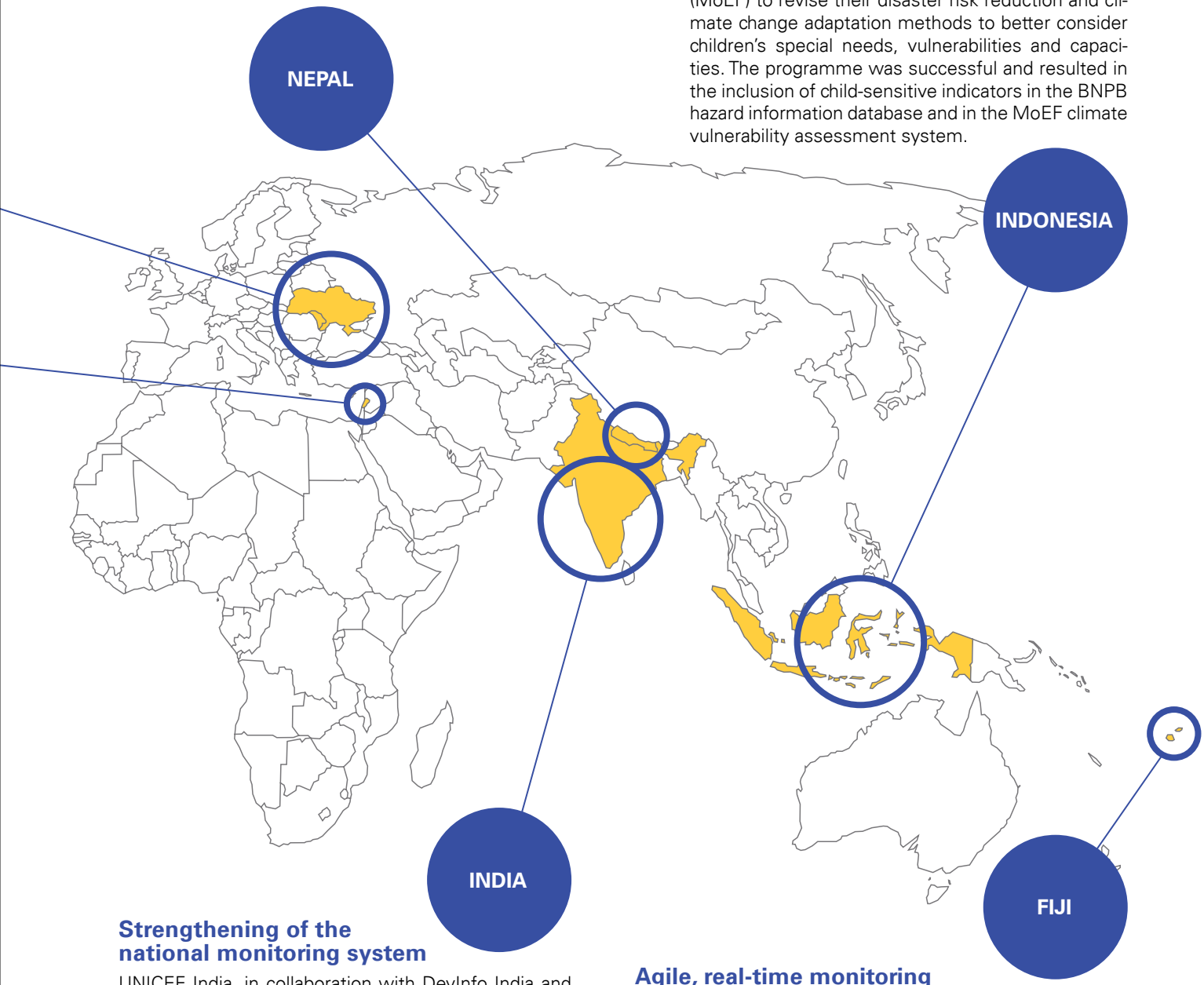
UNICEF supported the development of risk-informed, child-friendly regional profiles in Guyana, which allow spatial data on socio-economic deprivations (from MICS) to be overlaid with data on the exposure of communities to a variety of natural hazards. The resulting maps provide confirmation of the distribution of risks within each region. By updating these profiles before and after seasonal shocks, partners and child rights stakeholders have an opportunity to consider how natural disaster and crisis may deepen certain vulnerabilities. Ideally, this initiative should support the capacity strengthening initiatives of regional disaster management bodies, by informing strategies that are adapted to the local context and risk landscape.

Post-crisis MICS

A special post-crisis Multiple Indicator Cluster Survey (MICS) was conducted in Nepal in 2016 following the massive earthquake that hit Kathmandu and surrounding regions. The MICS helped to show how households and their members were affected by the emergency and compared characteristics of affected and non-affected households. The work helped to inform response and recovery programming and continues to strengthen risk reduction and preparedness priorities.

Making national risk assessments more child-sensitive

UNICEF Indonesia supported the Ministry of Women's Empowerment and Child Protection (MoWECP) to champion – inside government itself – the disaster risk reduction and climate change adaptation agenda for children. With the support of UNICEF and Bogor Agricultural University, the Deputy Minister of the MoWECP challenged her ministerial counterparts in BNPB, the National Disaster Management Agency, and in the Ministry of Environment and Forestry (MoEF) to revise their disaster risk reduction and climate change adaptation methods to better consider children's special needs, vulnerabilities and capacities. The programme was successful and resulted in the inclusion of child-sensitive indicators in the BNPB hazard information database and in the MoEF climate vulnerability assessment system.



Strengthening of the national monitoring system

UNICEF India, in collaboration with DevInfo India and the National Disaster Management Authority, piloted a multi-hazard vulnerability mapping system for regular data collection in the states of Bihar and Rajasthan. In 2013, the UNICEF Rajasthan State Office decided to innovate by monitoring changes in risks over time so that the impact of slower-onset stresses could be better understood. The team collected monthly data to trace the correlation between school attendance and rainfall deficit, to identify whether the ongoing drought had an effect on children's behaviour during specific seasons of the year. This time series analysis confirmed devastating seasonal effects and helped to reshape the country programme in the worst affected districts.

Agile, real-time monitoring

Before, during and after Tropical Cyclone Winston (the most powerful storm to ever make landfall in the South Pacific), the Fijian Ministry of Education and its network of emergency operation centres, the National Disaster Management Office, and UNICEF, Save the Children and other education cluster members worked together to ensure rapid access to real-time assessment data. Using Akvo Flow (an innovative online platform for multi-stakeholder data sharing), up-to-date information on the location and status of primary and secondary education facilities was shared, enabling swift communication between stakeholders, rapid adjustments to recovery efforts, and a means to track collective programme progress over time.

3. RISK-INFORMED PROGRAMME MONITORING

3.1 RESULTS MONITORING

GRIP Module No. 3 explains how multiple stakeholders should collaborate to develop a risk-informed theory of change. UNICEF can then identify a clear results chain that includes a commitment to risk reduction, the strength of which depends upon the country's risk profile.

As explained in Module No. 3, results may be risk-informed by:

- reflecting the desired impact-level goal statement in terms of resilience and peace
- ensuring that outcomes and outputs reflect a specific commitment to strengthening national performance in risk reduction (through the result statement or indicators chosen)
- focusing targets on the most 'at-risk' populations (rather than on either the general population or those who are socio-economically deprived or marginalized but not necessarily also disproportionately exposed to shocks and stresses)
- expanding definitions to note the commitment to risk reduction embedded within larger programming approaches and standards.

Monitoring of risk-informed programming therefore entails bringing together data to answer the question: **Are we achieving results as planned, *including for those elements of programming that reduce risk and build social cohesion and resilience*?**

3.2 AGILE MONITORING

In high-risk, emergency and fragile situations, UNICEF programming with partners must be more agile. This means addressing current key deprivations and bottlenecks as well as the prevention and mitigation of the negative impacts of likely future crisis scenarios, balancing longer-term capacity development objectives while also ensuring external capacity to scale up support for service delivery as needed. It also means being ready to make rapid shifts in programme delivery strategies, partnerships and risk management strategies.

When monitoring in dynamic, high-risk environments, the stakes are higher. Agile monitoring is critical in such environments due to the need to consider:

- **humanitarian imperatives**, as more rapid and accurate information can actually very often save lives and alleviate suffering for those affected by crisis
- **access to more frequent updates or real-time data** since dynamic environments need rapid programme adjustments, which means there is a high demand for systematic updates on needs, programme delivery, responses and changes in contextual risks. The availability of technologies that facilitate information sharing also creates a demand for real-time data to enable immediate updates to be circulated as the situation changes
- **greater social accountability**, given the growing emphasis on ensuring accountability to affected populations. There is a call for more participatory monitoring mechanisms that can strengthen citizen engagement and amplify the voices of affected communities, ensuring feedback on the quality of emergency responses
- **access to 'open data' and greater transparency**, due to increasing demands from development partners and humanitarian technical donors for information that can be freely used and for more transparency in terms of how activities are implemented and resources spent (reinforced through the International Aid Transparency Initiative).[11]

Therefore, when considering monitoring in high-risk contexts, it will also be critical to: set clear time limits for implementation; identify those results that are most critical to reducing risk most quickly; and make note of the update frequency for indicators associated with these critical results. A simple management prioritization exercise, most likely conducted during annual or multi-year work planning, can highlight the critical results. Or this may oc-

[11] The International Aid Transparency Initiative (IATI) is a voluntary, multi-stakeholder initiative that seeks to improve the transparency of aid, development and humanitarian resources. See: International Aid Transparency Initiative, <www.aidtransparency.net>, accessed 16 March 2018.

cur through the process of prioritizing certain critical interventions. For example, within a wider effort to strengthen cholera prevention and outbreak response, specific targets should be established prior to the flood season for the most vulnerable geographic regions.

These considerations suggest that rather than establish parallel monitoring systems, UNICEF and child rights stakeholders should ensure that existing systems are **sufficiently agile to keep up with both the changing context and programming.** This may necessitate making changes to:

- the priority deprivations/programme results – with a stronger focus on immediate life-saving and protection-related needs in the context of crisis
- target populations – to address acute and immediate needs
- geographic focus – to adapt to rapidly changing risks and manifestation of needs
- designated partners – considering disaster impacts and losses, and capacities in meeting humanitarian imperatives.

Where UNICEF is investing in strengthening national and decentralized results-based planning and monitoring, this added consideration of agility is critical. Where national monitoring systems are very weak and may fail in likely crisis scenarios, UNICEF country offices and child rights stakeholders should expect to supplement capacity or support substitute monitoring systems with the help of other external partners, focusing on the 'core elements' of effective monitoring in emergencies. In both cases, the process of identifying these core elements should draw on UNICEF minimum programming monitoring requirements in humanitarian situations (i.e., high-frequency partner reporting against two or three key priority output indicators per sector to enable coverage estimates agreed with sector/cluster partners; and systematic, scaled-up field monitoring systems to provide a cross-check on the high frequency of these programme coverage estimates).

In planning monitoring, the focus should therefore be on identifying the core elements of monitoring systems (indicators and data collection systems) that are in place or can be put in place to **allow the UNICEF country office and its partners to adapt when and where the situation deteriorates or improves**.

The critical characteristics required of any monitoring system are:

- human capacities (front-line data collection staff) and partnerships that can be easily shifted geographically and which receive ongoing training such that they understand the range of possible programmatic focuses
- technological platforms and partnerships that are not locked down to a specific geographic focus or which are actively set up to cover a range of locations
- methods/tools that can be easily shifted in terms of results focus – i.e., open methods, or easily adapted software
- scalable monitoring systems – i.e., systems that allow for a higher frequency of data collection or the addition of more data collection points or more people dedicated to data collection – since the scale and speed of programme delivery will increase during any emergency response.

GRIP ANNEXES

CONTENTS FOR GRIP ANNEXES

ANNEX 1: Potential data sources for risk analysis

Table 1 - Potential sources of data related to risk ratings and shocks and stresses

Type of shock or stress	Potential data source
Shocks and stresses (national sources of information)	• **National analyses and plans:** National disaster management plans, climate change adaptation plans, contingency plans and/or national risk analyses provide valuable information for use in risk assessments and analysis. • **National disaster impacts databases:** The Sendai Framework Data Readiness Review 2017 found that 60% of reporting countries have a national database in which to collect disaster loss data, and 26 of these 87 countries reported that they use DesInventar for this purpose.[1] Database use is increasing due to the technical assistance provided by the United Nations Development Programme (UNDP) and United Nations Office for Disaster Risk Reduction (UNISDR). Most reporting countries cited the ministry of interior or the civil protection or disaster management agency as being responsible for the collection of disaster loss data at the national level. Many other institutions were cited, however, including national statistics offices.
Various hazards – natural, environmental and climate change-related, biological and/or economic (internationally supported databases and reports)	• **EM-DAT, the International Disaster Database:**[2] Contains essential core data on the occurrence and effects of more than 18,000 mass disasters globally from 1900 to date. Provides information related to specific disasters, including losses, deaths and associated costs. Data are largely not disaggregated by age and sex. • **DesInventar database:**[3] A conceptual and methodological tool to help generate national disaster inventories and build databases of damage, losses and other disaster impacts. Supported by the European Commission, UNDP and UNISDR. • **World Bank Climate Risk and Adaptation Country Profiles:**[4] The World Bank Group has compiled 94 climate risk and adaptation profiles that provide a quick reference to climate-related vulnerabilities and risks using data at multiple levels of detail. • **PREVIEW Global Risk Data Platform:**[5] A multi-agency collaboration to share spatial data on global risks from natural hazards, enabling the visualization or downloading of data on past events. • **World Risk Report:**[6] Indicates the risk of disaster linked to extreme natural events for 171 countries. Also contains a country risk index. • **Global Assessment Report on Disaster Risk Reduction (GAR):**[7] GAR is a biennial global assessment of disaster risk reduction and a comprehensive review and analysis of the natural hazards that are affecting humanity. UNISDR coordinates and supervises GAR, which also offers an interactive Risk Data Viewer. • **PreventionWeb Disaster Data and Risk Profiles:**[8] Contains a wealth of primary data on disaster losses, presented in an easily accessible manner with breakdowns by region and country. • **World Economic Forum Global Risks Report 2018:**[9] Features perspectives from nearly 750 experts on the perceived impacts and likelihood of 29 prevalent global risks over a 10-year time frame. The risks are divided into five categories: economic, environmental, geopolitical, societal and technological. • **Asian Disaster Preparedness Center (ADPC) country profiles:**[10] Hazard profiles compiled by ADPC for certain Asian countries.

[1] United Nations, *Disaster-related Data for Sustainable Development, Sendai Framework Data Readiness Review 2017: Global Summary Report,* United Nations Office for Disaster Risk Reduction, available at <www.preventionweb.net/files/53080_entrybgpaperglobalsummaryreportdisa.pdf>, accessed 14 March 2018.
[2] Centre for Research on the Epidemiology of Disasters (CRED), 'EM-DAT, The International Disaster Database', <www.emdat.be/>, accessed 14 March 2018.
[3] Corporación OSSO, 'DesInventar, Inventory system of the effects of disasters', <www.desinventar.org/en/database>, accessed 14 March 2018.
[4] World Bank Group, 'Climate Risk and Adaptation Country Profiles', <http://sdwebx.worldbank.org/climateportalb/home.cfm?page=country_profile>, accessed 14 March 2018.
[5] United Nations Environment Programme/GRID-Geneva and United Nations Office for Disaster Risk Reduction, 'Global Risk Data Platform', <http://preview.grid.unep.ch/>, accessed 15 March 2018.
[6] Bündnis Entwicklung Hilft, 'The WorldRiskReport', <http://weltrisikobericht.de/english/>, accessed 15 March 2018.
[7] United Nations Office for Disaster Risk Reduction, 'Global Assessment Report', <www.unisdr.org/we/inform/gar>, accessed 15 March 2018.
[8] PreventionWeb, 'Disaster Data & Statistics, Disaster Data and Risk Profiles', United Nations Office for Disaster Risk Reduction, <https://www.preventionweb.net/english/professional/statistics/>, accessed 15 March 2018.
[9] World Economic Forum, 'The Global Risks Report 2018', <https://www.weforum.org/reports/the-global-risks-report-2018 >, accessed 15 March 2018.
[10] Asian Disaster Preparedness Center, 'Country Profiles', <www.adpc.net/v2007/IKM/Country%20Profiles/Default-Country.asp>, accessed 15 March 2018.

Fragility	• **Harmonized List of Fragile Situations:**[11] Released on an annual basis by the World Bank Group's Fragile, Conflict and Violence Group. • **States of Fragility Report:**[12] Produced by the Organisation for Economic Co-operation and Development, this report provides an index of fragility against five dimensions, suggesting that fragility is "the combination of exposure to risk and insufficient coping capacity of the state, system and/or communities to manage, absorb or mitigate those risks". • **Fragile States Index:**[13] The Fund for Peace collects thousands of reports and other information from around the world that details the existing social, economic and political pressures faced by 178 countries, to create an index of fragility.
Potential violence, social unrest, instability or migration	• **ACLED Data:**[14] Comprehensive database on incidents of political violence and protest in developing states, compiled by the Armed Conflict Location & Event Data (ACLED) Project. Provides data on date and location, the type of event, the groups involved, fatalities and conflict dynamics. • **Uppsala Conflict Data Program (UCDP) Conflict Encyclopedia:**[15] A global database of armed conflicts and consequences since the 1970s. Provides information on losses, deaths and associated costs related to specific conflicts. • **Global Peace Index:**[16] A measure of peace that draws on 22 qualitative and quantitative indicators. • **UCDP/PRIO Armed Conflict Dataset:**[17] Historical database of internal and external conflicts throughout the world since 1946, with indications of intensity and type. • **Heidelberg Institute for International Conflict Research Conflict Barometer:**[18] Describes all recent trends in conflict development, escalations, settlements, etc., sorted by country. • **Stockholm International Peace Research Institute (SIPRI) Multilateral Peace Operations Database:**[19] A comprehensive database of all multilateral peace operations conducted by the United Nations and other organizations, including number of personnel deployed, budget of missions and casualties. Currently includes details of nearly 600 peace operations for the period 2000–2010. • **Conflict Analysis Resource Center (CERAC):**[20] A research platform focused on armed violence, conflict analysis and the impacts of conflict on development, which provides resources for conflict analysis and methodologies for the measurement of internal conflicts. It also includes a database. • **International Crisis Group reports and briefings:**[21] Country and regional reports. • **Technical Note on Conflict Sensitivity and Peacebuilding in UNICEF:**[22] See the sources of data referenced in Annex 5.

Table 2 - Potential sources of data related to vulnerability and some aspects of capacity

General type of source	Specific data source
National data sources (census, survey, administrative sources)	• **National census** • **National household surveys** to determine household income and expenditure, living standards and/or the socio-economic status of the household (see below for several such surveys supported by development partners). • **National administrative databases** (e.g., health management information system) and/or sector performance reports.

[11] The World Bank, 'Harmonized List of Fragile Situations', World Bank Group, <www.worldbank.org/en/topic/fragilityconflictviolence/brief/harmonized-list-of-fragile-situations>, accessed 15 March 2018.
[12] Organisation for Economic Co-operation and Development, 'States of Fragility Reports', <www.oecd.org/dac/conflict-fragility-resilience/listofstateoffragilityreports.htm>, accessed 15 March 2018.
[13] Fund for Peace, 'Fragile States Index', <http://fundforpeace.org/fsi/>, accessed 15 March 2018.
[14] Armed Conflict Location & Event Data (ACLED) Project, 'ACLED Data', <www.acleddata.com/>, accessed 15 March 2018.
[15] Uppsala Conflict Data Program (UCDP), 'UCDP Conflict Encyclopedia', Uppsala University, <www.ucdp.uu.se>, accessed 15 March 2018.
[16] Vision of Humanity, 'Global Peace Index 2017', Institute for Economics and Peace, <http://visionofhumanity.org/indexes/global-peace-index/>, accessed 15 March 2018.
[17] Uppsala Conflict Data Program (UCDP) and Peace Research Institute Oslo (PRIO), 'UCDP/PRIO Armed Conflict Dataset', <www.prio.org/Data/Armed-Conflict/UCDP-PRIO/>, accessed 15 March 2018.
[18] Heidelberg Institute for International Conflict Research, *Conflict Barometer*, available at <https://hiik.de/conflict-barometer/current-version/?lang=en>, accessed 15 March 2018.
[19] Stockholm International Peace Research Institute (SIPRI), 'SIPRI Multilateral Peace Operations Database', <www.sipri.org/databases/pko>, accessed 15 March 2018.
[20] Conflict Analysis Resource Center (CERAC), <www.cerac.org.co/en/>, accessed 15 March 2018.
[21] International Crisis Group, 'Reports & Briefings', <www.crisisgroup.org/latest-updates/reports-and-briefings>, accessed 15 March 2018.
[22] United Nations Children's Fund, *Technical Note on Conflict Sensitivity and Peacebuilding in UNICEF*, UNICEF, June 2012, available at <www.unicefinemergencies.com/downloads/eresource/docs/KRR/UNICEF Technical Note on Conflict Sensitivity and Peacebuilding.pdf>, accessed 19 February 2018.

National survey data supported by development partners	• **Multiple Indicator Cluster Surveys (MICS):**[23] Over two decades, close to 300 MICS have been carried out in more than 100 countries, generating data on key indicators on the well-being of children and women. MICS represent technical and financial cooperation between national statistics offices (NSOs), UNICEF country offices and the Global MICS Team. • **Demographic and Health Surveys (DHS):**[24] Each DHS collects, analyses and disseminates data on population, health, HIV and nutrition. The more than 300 surveys from over 90 countries are the product of cooperation between an NSO or ministry of health and the DHS Program supported by the United States Agency for International Development (USAID). • **Standardized Monitoring and Assessment of Relief and Transitions (SMART):**[25] An inter-agency initiative that aims to provide consistent and reliable survey data in emergencies, using a single standardized methodology based on two public health indicators used to assess the magnitude and severity of a humanitarian crisis: nutritional status of children under 5 years of age, and overall mortality rate. • **Household Income and Expenditure Surveys (HIES):** The World Bank and other development partners have worked for over three decades to strengthen national capacities for data collection and management and poverty estimation. HIES are available for a range of countries, through their NSOs. • **Living Standards Measurement Study (LSMS) Datasets:**[26] A household survey programme housed within the Survey Unit of the World Bank's Development Data Group provides technical assistance to NSOs in the design and implementation of household surveys used to develop poverty diagnostics. • **Knowledge, Attitudes and Practice (KAP) surveys:**[27] KAP surveys use a quantitative method (predefined questions formatted in standardized questionnaires) that provides access to quantitative and qualitative information on misconceptions or misunderstandings that may represent obstacles or barriers to behaviour change.
Models, approaches and indices that draw on existing national data sources	• **Multiple and Overlapping Deprivation Analysis (MODA):**[28] MODA was developed by the UNICEF Office of Research - Innocenti, with support from the Division of Policy and Strategy, to create a framework to facilitate child-focused poverty and multidimensional deprivation analyses using MICS, DHS and other data sources. When MODA is applied to a particular country, it is referred to as N-MODA (National MODA); CC-MODA provides cross-country comparability. • **UNICEF approach to measuring multidimensional child poverty:**[29] This considers child deprivations in eight critical dimensions (education, health, nutrition, water, sanitation, shelter, information and income/consumption) using MICS/DHS data. • **Oxford Poverty & Human Development Initiative (OPHI) Global Multidimensional Poverty Index:**[30] To estimate poor people's experience of deprivation, this multidimensional measure incorporates a range of indicators: poor health, lack of education, inadequate living standards, lack of income, disempowerment, poor quality of work and threat of violence. • **Gender Inequality Index (GII):**[31] This index measures gender inequality in terms of reproductive health, empowerment and economic status. The GII exposes differences in the distribution of achievements between women and men, and the human development costs of gender inequality. • **Gender Development Index (GDI):**[32] The GDI measures gender gaps in human development achievements across three dimensions – health, knowledge and living standards. • **Global Gender Gap Report:** [33]The Global Gender Gap Report quantifies gender disparities in four key areas – health, education, economy and politics – and tracks how they change over time.

[23] Multiple Indicator Cluster Surveys (MICS) are managed by the United Nations Children's Fund Global MICS Team. See: UNICEF MICS, <http://mics.unicef.org/>, accessed 15 March 2018.
[24] Demographic and Health Surveys (DHS) are managed by the DHS Program. See: DHS Program, <https://dhsprogram.com/>, accessed 15 March 2018.
[25] Standardized Monitoring and Assessment of Relief and Transitions (SMART) resources are available at: SMART, 'About SMART', <http://smartmethodology.org/about-smart/>, accessed 15 March 2018.
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ANNEX 2: Caveats & limitations

The following limitations to the GRIP risk analysis methodology should be noted:

- Although the GRIP risk analysis methodology has applicability for many child rights stakeholders, it has been developed primarily to inform UNICEF staff in their programming with government and other national counterparts. It is therefore structured to complement institutional requirements – potentially at the expense of meeting the needs of a wider group.
- Marrying the United Nations Office for Disaster Risk Reduction risk formula and the simplified Risk = Likelihood x Impact formula necessitates a reinterpretation of the variables, which in some ways compromises the original formula. For example, the concept of 'impact' is, in fact, associated with 'risk' – the product of the risk formula – rather than with the combination of exposure, capacity and vulnerability. By linking the two formulae and using inspiration from both, however, UNICEF teams can conduct a robust analysis and also meet the risk assessment requirements of the Emergency Preparedness Platform.
- The GRIP risk assessment methodology is meant to provide a means to facilitate discussion among stakeholders and inform the process of joint planning and programming. It is not a quantitative assessment, however, and it relies on stakeholder perceptions of risk – it is therefore subjective and can potentially be influenced by individual and group bias.
- The standard GRIP assessment methodology is not spatial in scope (aside from listing locations) and therefore considers patterns and trends at the national level. This can hide great variance at the sub-national level across the variables of exposure, vulnerability and capacity. For this reason, higher-risk countries are strongly recommended to complete a spatial analysis, which will require a more quantitative and evidence-based approach.
- Although conducting risk analysis with national counterparts is considered critical, it is understood that in some situations of extreme fragility, conflict or contested governance, this approach may be challenging or impossible.

Acronyms, abbreviations & initialisms

C4D	Communication for Development
CCA	Climate change adaptation
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CEE	Climate, environment and energy
CFSISG	Child Friendly Schools Infrastructure Standards and Guidelines
CLAC	Climate landscape analysis for children
DRR	Disaster risk reduction
EAPRO	East Asia and Pacific Regional Office (UNICEF)
EPR	Emergency preparedness and response
FAO	Food and Agriculture Organization of the United Nations
GBV	Gender-based violence
GRIP	Guidance for Risk-informed Programming
HATIS	Humanitarian Action and Transition Section (UNICEF)
IASC	Inter-Agency Standing Committee
IMERP/PRIME	Integrated monitoring, evaluation and research plan or database
INFORM	Index for Risk Management
MICS	Multiple Indicator Cluster Survey(s)
MoRES	Monitoring Results for Equity System
OECD	Organisation for Economic Co-operation and Development
PSEA	Protection from Sexual Exploitation and Abuse
RBM	Results-based management
ROSA	Regional Office for South Asia (UNICEF)
SDGs	Sustainable Development Goals
SitAn	Situation analysis
TOCs	Theories of change
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNISDR	United Nations Office for Disaster Risk Reduction
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
USAID	United States Agency for International Development
WASH	Water, sanitation and hygiene
WFP	World Food Programme
WHO	World Health Organization

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